



**Education Review Office**  
Te Tari Arotake Mātauranga

**Guidelines for Centre  
Assurance Statement  
And Self-Audit Checklists**

**[For Services Licensed under 2008 Regulatory Framework]**

**January 2017**

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# *Ko te Tamaiti te Pūtake o te Kaupapa*

## *The Child – The Heart of the Matter*

### **Introduction**

*Early childhood education and care centre means premises used regularly for the education and care of 3 or more children (not being children of the persons providing the education or care, or children enrolled at a school being provided with education or care before or after school) under the age of 6 –*

*(a) by the day or part of a day; but*

*(b) not for any continuous period of more than 7 days.<sup>1</sup>*

*Licensed early childhood education and care centre (“centre” or “service” for the purposes of this document) means an early childhood education care centre in respect of which the service provider holds a current licence issued under the Education (Early Childhood Services) Regulations 2008.*

Early childhood education in licensed centres aims to promote young children’s learning and development. Key mechanisms to ensure that centres provide a minimum standard of care, and to encourage provision of high quality care and education include:

- *The Education (Early Childhood Services) Regulations 2008* setting minimum standards primarily for curriculum, qualifications, ratios, service-size, premises and facilities, health and safety practices, management and administration. The purpose of these minimum standards is to ensure the health, comfort, care, education, and safety of children attending licensed centres and therefore to establish the level of quality education and care that one would expect to find in a licensed centre;
- Licensing, intended to provide public assurance that a centre is meeting the standards established in the regulations, and guarding against entry of services below the minimum standard into the early childhood centre education market;
- The *Licensing Criteria for Early Childhood Education and Care Centres 2008* which are deemed regulations prescribed by the Minister of Education, and that are used by the Secretary of Education to assess compliance with regulated standards of education and care;
- The *Early Childhood Education Curriculum Framework*<sup>2</sup> based on *Te Whariki*, which is New Zealand’s curriculum for early childhood education and which provides guidelines for consistent and high-quality early childhood programmes; and
- The involvement of parents who may actively seek information about the licensed centre and its work with children, take part in management and decision-making or participate in and monitor programmes.

Another key mechanism used to ensure that licensed centres meet the minimum regulated standards of education and care is external evaluation by the Education

<sup>1</sup> Section 310 Education Act 1989.

<sup>2</sup> *New Zealand Gazette*, 4 September 2008, No 136 at page 3617.

Review Office (ERO). Review reports prepared by ERO are used by staff, management, parents and government officials to inform their understanding of the quality of care and education in licensed centres and the sector as a whole.

The legal framework described above provides a baseline for all ‘**service providers**’ (*the body, agency, or person who or that operates the centre*). ERO wants to know that the ‘**licensed service provider**’ is taking all reasonable steps to meet the minimum standards to ensure the health, comfort, care, education, and safety of children attending the licensed centre. The ‘**licensed service provider**’ is *the holder of a licence, and in relation to a licensed early childhood service...the holder of a licence in relation to that service*. (For the purposes of this document the licensed service provider may also be referred to as “**the service provider**”.)

# *High Quality Evaluation Contributing to High Quality Education*

## **Licensing and Compliance Issues**

Services must meet licensing criteria as well as other regulatory requirements contained in the regulations in order to gain and maintain a licence and receive government funding.

The Education (Early Childhood Services) Regulations 2008, should therefore be read in conjunction with the *Licensing Criteria for Early Childhood Education and Care Centres 2008* and the *Early Childhood Education Curriculum Framework*.

Compliance with regulatory requirements is clearly an integral part of the provision of high quality care and education.

ERO places significant reliance on the information given by service providers as to whether or not they are taking all reasonable steps to meet their legal obligations. Where service providers can provide evidence that they are complying with legal requirements, then compliance is not the major focus of the review. Instead ERO is able to focus on the quality of the programme, the quality of adult/child interactions and the learning environment and the impact of these on outcomes for children attending the centre.

Service providers and *contact persons*<sup>3</sup> are asked to provide assurance to ERO about legal compliance. Where there are areas of non-compliance, service providers will be asked to advise what action they are taking to achieve compliance.

In order to help with this process, ERO has developed these *Guidelines for Centre Assurance Statement* and *Self-Audit Checklists* containing:

- a brief outline of the regulatory requirements with which licensed centre service providers must comply that are of key interest to ERO;
- checklists to be filled out by service providers and management as part of a self-review process to assist ERO in determining whether each service provider is complying with regulatory requirements; and
- an assurance statement to be signed by each service provider and contact person providing evidence of the service provider's compliance (or otherwise) with regulatory requirements.

The completed checklists and assurance statement are used by ERO in the scoping and planning stages of the review. The more assurance the service provider and contact person can provide to ERO that they are meeting the legal requirements and taking appropriate action to remedy areas of non-compliance, the greater the emphasis can be on other areas of the review.

The detailed issues for evaluation are determined at the beginning of the review following a discussion with the service provider.

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<sup>3</sup> The person nominated by the service provider to represent its management – refer to regulation 3 of the Education (Early Childhood Services) Regulations 2008 for interpretation.

**Note:** The *Guidelines for Centre Assurance Statement and the Self-Audit Checklists* do not cover every legal requirement with which service providers must comply. *The Guidelines* are not intended to be exhaustive of all relevant legislation and requirements (such as those provided in Ministry of Education Circulars and other documents). Information in the *Guidelines* may not represent the official version of Acts, Regulations and other legal requirements. In any situation the full legislation and the requirements themselves should be referred to. For further guidance, service providers should refer to the ‘Licensing criteria for services’ section on the Ministry of Education, Early Childhood Education website- [www.education.govt.nz/early-childhood/running-an-ece-service/the-regulatory-framework-for-ece/licensing-criteria](http://www.education.govt.nz/early-childhood/running-an-ece-service/the-regulatory-framework-for-ece/licensing-criteria)

## Section One

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### Curriculum Standard Guide

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#### Key Legislation

- The Education Act 1989.
- Education (Early Childhood Services) Regulations 2008

#### Key Documents

- Licensing Criteria for Early Childhood Education and Care Centres 2008
- Early Childhood Education Curriculum Framework.

#### Early Childhood Education Curriculum Framework

The Early Childhood Curriculum Framework (Curriculum Framework) for licensed centres is based on *Te Whāriki: He Whāriki Mātauranga mō ngā Mokopuna o Aotearoa*, which is New Zealand's curriculum for early childhood education. *Te Whāriki* sets out the learning experience goals for children from birth up to school age. It identifies what a child needs to know and use later in life. It is envisioned as a mat with four principles interwoven with five strands.

The four principles are:

- **Empowerment / Whakamana** - giving the child the power to learn and grow,
- **Holistic Development / Kotahitanga** - learning as a whole rather than in separate subjects,
- **Family and Community / Whānau Tangata** - linking with the child's family and community,
- **Relationships / Ngā Hononga** - learning by responding and doing things alongside others.

The five Strands are:

- **Well-being / Mana Atua** - having a safe and healthy environment in which to grow and learn,
- **Belonging / Mana Whenua** - feeling like they belong,
- **Contribution / Mana Tangata** - feeling valued and encouraged to take responsibility,
- **Communication / Mana Reo** - learning to express themselves with others in a variety of ways,
- **Exploration / Mana Aotūroa** - learning by doing.

The purpose of the Curriculum Framework is to provide the basis and context for specific curriculum regulatory requirements in the Education (Early Childhood Services) Regulations 2008 relating to the standards of education and care and to the associated curriculum criteria. The Curriculum Framework is made up of the English and te reo Māori versions of the principles and strands from *Te Whāriki*.

Each licensed centre will develop its own programmes to implement *Te Whāriki*. The *Licensing Criteria for Early Childhood Education and Care Centres* outlines how service providers must comply with the standards.

The licensed service provider must implement the principles and strands set out in the Curriculum Framework.<sup>4</sup>

The service provider is also required to meet the curriculum standard under regulation 43 of the Education (Early Childhood Services) Regulations 2008, and produce specific documentation to demonstrate compliance with the *Licensing Criteria for Early Childhood Education and Care Centres 2008* consistent with the prescribed curriculum framework to assess the curriculum standard.

The curriculum standard in regulation 43 of the Education (Early Childhood Services) Regulations 2008 is set out below, followed by a summary of the criteria against which compliance will be assessed.

***Regulation 43 - Curriculum standard: general***

- (1) The curriculum standard: general is the standard that requires every licensed service provider to whom this regulation applies to—
  - (a) plan, implement, and evaluate a curriculum that is designed to enhance children's learning and development through the provision of learning experiences and that is consistent with any curriculum framework prescribed by the Minister that applies to the service; and that—
    - (i) responds to the learning interests, strengths, and capabilities of enrolled children; and
    - (ii) provides a positive learning environment for those children; and
    - (iii) reflects an understanding of learning and development that is consistent with current research, theory, and practices in early childhood education; and
    - (iv) encourages children to be confident in their own culture and develop an understanding, and respect for, other cultures; and
    - (v) acknowledges and reflects the unique place of Maori as tangata whenua; and
    - (vi) respects and acknowledges the aspirations of parents, family, and whanau; and
  - (b) make all reasonable efforts to ensure that the service provider collaborates with the parents and, where appropriate, the family or whanau of the enrolled children in relation to the learning and development of, and decision making about, those children; and
  - (c) obtain information and guidance from agencies with expertise in early childhood learning and development, to the extent necessary, to—

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<sup>4</sup> Gazetted in the *New Zealand Gazette* No 136 dated 4 September 2008 at page 3617. Refer to the MOE – Early Childhood Education website – [www.education.govt.nz](http://www.education.govt.nz), or the Department of Internal Affairs' website [www.dia.govt.nz](http://www.dia.govt.nz) and search under *New Zealand Gazette On-line*.



- (i) support the learning and development of enrolled children; and
  - (ii) work effectively with parents and, where appropriate, family or whanau.
- (2) Each licensed service provider to whom this regulation applies must comply with the curriculum standard: general.

## Key Requirements

### *Licensing Criteria for Early Childhood Education and Care Centres 2008*

**Clause 4 – Interpretation** – for the purpose of these criteria, unless the context indicates otherwise: (Note: applies to all sections of this Compliance Guide and the attached Self-Audit Checklists)

- (a) **adults providing education and care** means kaiako, teachers, supervisors, parent helpers, kaiawhina, fa’iaoga, or other adults who have a designated role of providing education and care to children at a service and are included in required adult:child ratios;
- (b) **assessment** means the process of noticing children’s learning, recognising its significance, and responding in ways that foster further learning. It includes documenting some, but not necessarily all, of what and how children are learning in order to inform teaching, and make learning visible;
- (c) **culture** means the understandings, patterns of behaviour, practices, and values shared by a group of people;
- (d) **existing service** means an early childhood service deemed to have been issued a licence under section 319K(1) of the Education Act 1989 at 1 December 2008;
- (e) **medicine** means any substance used for a therapeutic purpose and includes prescription and non-prescription preparations having the meaning assigned to these under Appendix 3;
- (f) **excursion** means –
  - i. being outside the licensed premises whilst receiving education and care from the service; but
  - ii. does not include an excursion for the purpose of emergency evacuations, drills or the receipt of urgent medical attention.
  - iii. regular excursion means – excursions that parents have agreed to at the time of their child’s enrolment, that are part of an ongoing planned and consistent routine of education and care.
  - iv. special excursion means – excursions that parents have agreed to prior to the excursion or outing taking place, that are not a regular outing or excursion.
- (g) **parent** means –
  - i. the person (or people) responsible for having the role of providing day to day care for the child; and
  - ii. may include a biological or adoptive parent, step parent, partner of a parent of a child, legal guardian or member of the child’s family, whānau or other culturally recognised family group.

- (h) **philosophy** means a statement that –
  - i outlines the fundamental beliefs, values, and ideals that are important to the people involved in the service – management, adults providing education and care, parents, families/whānau, and perhaps the wider community;
  - ii. identifies what is special about the service; and
  - iii. is intended to be the basis for decisions about the way the service is managed and about its direction in the future;
- (i) **policy** means a statement intended to influence and determine decisions, actions, and other matters;
- (j) **premises** means the land and buildings (or parts of buildings) intended for the exclusive use as a licensed early childhood education and care centre during hours of operation;
- (k) **procedure** means a particular and established way of doing something;
- (l) **process** means a goal-directed, interrelated series of actions, events, procedures, or steps;
- (m) **records** means information or data on a particular subject collected and preserved;
- (n) **regulation** means a regulation under the Education (Early Childhood Services) Regulations 2008;
- (o) **required adult:child ratio** means the adult:child ratio with which the service provider is required to comply under regulation 44(1)(b) or any direction by the Secretary under regulation 54(2);
- (p) **service** means an early childhood education and care centre;
- (q) **service curriculum** means all of the experiences, interactions, activities and events – both direct and indirect, planned and spontaneous – that happen at the service. Teaching practices including planning, assessment, and evaluation form part of the service curriculum; and
- (r) **service provider** means the body, agency, or person who or that operates the early childhood education and care centre.
- s) **specified agency** means any government agency or statutory body that an early childhood education and care service is required to notify if there is a serious (or as defined) injury, illness, incident or allegation. This may include but is not limited to: the New Zealand Police; the Ministry of Health; Child, Youth and Family; WorkSafe New Zealand; and the Education Council.

#### **Clause 5 - Purpose of criteria**

1. The criteria are to be used by the Secretary of Education to assess compliance with the minimum standards set out under regulations 43 and 45 to 47 of the Education (Early Childhood Services) Regulations 2008.
2. Regulations 43 and 45 to 47 impose minimum standards that each licensed service provider is required to comply with, and are set out in these criteria so that readers can see how the regulations and criteria fit together.

## **Clause 6 - Criteria to assess Curriculum standard**

### Professional practice

**Criteria C1 to C4** require the service provider to ensure that:

- The service curriculum is consistent with any prescribed curriculum framework that applies to the service.
- The service curriculum is informed by assessment, planning, and evaluation (documented and undocumented) that demonstrates an understanding of children’s learning, their interests, whānau, and life contexts.
- Adults providing education and care engage in meaningful positive interactions to enhance children’s learning and nurture reciprocal relationships.
- The practices of adults providing education and care demonstrate an understanding of children’s learning and development, and knowledge of relevant theories and practice in early childhood education.

### Culture and identity

**Criteria C5 and C6** require the service provider to ensure that:

- The service curriculum acknowledges and reflects the unique place of Māori as tangata whenua. Children are given the opportunity to develop knowledge and an understanding of the cultural heritages of both parties to Te Tiriti o Waitangi.
- The service curriculum respects and supports the right of each child to be confident in their own culture and encourages children to understand and respect other cultures.

### Children as learners

Under **Criteria C7 to C10** the service provider is required to ensure that:

- The service curriculum is inclusive, and responsive to children as confident and competent learners. Children’s preferences are respected, and they are involved in decisions about their learning experiences.
- The service curriculum provides a language- rich environment that supports children’s learning.
- The service curriculum provides children with a range of experiences and opportunities to enhance and extend their learning and development – both indoors and outdoors, individually and in groups.
- The service curriculum supports children’s developing social competence and understanding of appropriate behaviour.

### Working with others

**Criteria C11 to C13** require the service provider to ensure that:

- Positive steps are taken to respect and acknowledge the aspirations held by parents and whānau for their children.
- Regular opportunities (formal and informal) are provided for parents to communicate with adults providing education and care about their child, and share specific evidence of the child’s learning; and be involved in decision-making concerning their child’s learning.
- Information and guidance is sought when necessary from agencies/services to enable adults providing education and care to work effectively with children and their parents.

- There is supporting documentation that provides evidence of the service's compliance with criteria C1 – C13. Documentation may take a variety of forms to suit the service's operation (such as portfolios, wall displays, policies and procedures) but must include:
  1. A process for providing positive guidance to encourage social competence in children (C10);
  2. A process for providing formal and informal opportunities for parents to:
    - communicate with adults providing education and care about their child, and share specific evidence of the child's learning; and
    - be involved in decision-making concerning their child's learning (C12); and
  3. A record of information and guidance sought from agencies and/or services (C13).

### **Useful Resources**

*Early Childhood Education Curriculum Framework*

(<http://www.education.govt.nz/early-childhood/teaching-and-learning/ece-curriculum/>)

*Ngā Arohaehae Whai Hua*

Self-Review Guidelines for Early Childhood Education

(<http://www.education.govt.nz/early-childhood/running-an-ece-service/administration/self-review-guidelines/>)

*Quality in Action*

Ministry of Education, 1998

(<http://www.education.govt.nz/assets/Documents/Early-Childhood/Learning-tools-and-resources/QualityInActionTeMahiWhaiHua.pdf>).

*Pathways to the Future*

Ministry of Education, 2002

(<http://www.educationcounts.govt.nz/publications/ECE/locality-based-evaluation-of-pathways-to-the-future-nga-huarahi-arataki>).

## Section Two

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### Premises and Facilities Standard Guide

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#### Key Legislation

- Education Act 1989.
- Education (Early Childhood Services) Regulations 2008.
- Building Act 2004.
- Fire and Emergency New Zealand Act 2017.
- Fire Safety, Evacuation Procedures, and Evacuation Schemes Regulations 2018
- Health and Safety at Work Act 2015.
- Regulations made under the Health and Safety at Work Act 2015
- Resource Management Act 1991.
- Smoke-Free Environments Act 1990.

#### Key Documents

- Licensing Criteria for Early Childhood Education and Care Centres 2008.

#### Introduction

The service provider is required to meet the premises and facilities standard: general, under regulation 45 of the Education (Early Childhood Services) Regulations 2008. In addition the service provider must produce supporting documentation to demonstrate compliance with the *Licensing Criteria for Early Childhood Education and Care Centres 2008 - Premises and facilities*.

The minimum premises and facilities standard: general in regulation 45 of the Education (Early Childhood Services) Regulations 2008 is set out below, followed by a summary of the criteria against which compliance will be assessed.

#### ***Regulation 45 – Premises and facilities standard: general***

- (1) The premises and facilities standard: general is the standard that requires every licensed service provider to whom this regulation applies—
  - (a) to use premises and facilities that, having regard to the number and age range of the children attending the premises, provide sufficient and suitable space for a range of activities, facilities for food preparation, eating, sleeping, storage, toileting, and washing, and sufficient and suitable heating, lighting, noise control, ventilation, and equipment to support—
    - (i) appropriate curriculum implementation by the service provider; and
    - (ii) safe and healthy practices by the service provider; and

- (b) to comply with the requirements of Schedule 4 (which relates to activity spaces).
- (2) Each licensed service provider to whom this regulation applies must comply with the premises and facilities standard: general.

## **Key Requirements**

### ***Licensing Criteria for Early Childhood Education and Care Centres 2008***

#### **Clause 7 - Criteria to assess Premises and facilities standard**

- PF1** The design and layout of the premises:
- support the provision of different types of indoor and outdoor experiences; and
  - include quiet spaces, areas for physically active play, and space for a range of individual and group learning experiences appropriate to the number, ages, and abilities of children attending.
- PF2** The design and layout of the premises support effective adult supervision so that children's access to the licensed space (indoor and outdoor) is not unnecessarily limited.

#### **General**

- PF3** The premises conform to any relevant bylaws of the local authority and the Building Act 2004.

#### **Documentation:**

1. Code Compliance Certificate issued under section 95 of the Building Act 2004 for any building work undertaken, or alternatively any other documentation that shows evidence of compliance.
2. Current Annual Building Warrant of Fitness (if the premises require a compliance schedule under section 100 of the Building Act 2004)

- PF4** A sufficient quantity and variety of (indoor and outdoor) furniture, equipment, and materials is provided that is appropriate for the learning and abilities of the children attending.

- PF5** All indoor and outdoor items and surfaces, furniture, equipment and materials are safe and suitable for their intended use.

**Criteria PF6 to PF14** require the licensed centre, among other things, to comply with the provision of:

- safe and durable floor surfaces for the range of activities to be carried out at the centre;
- safe glass for windows;
- sufficient spaces for safe storage of equipment and material;
- space for adults working at the centre;
- facilities for the preparation and cleaning up of paint and art materials;
- a telephone for calls from the service;
- appropriate lighting, ventilation, a safe and effective means of maintaining room temperatures; and
- outdoor activity space.

- safe and comfortable (indoor and outdoor) spaces for infants, and toddlers for services licensed for under 2 year olds.

**Criteria PF15 to 17** refer to *food preparation and eating spaces*, and provision of:

- a safe and hygienic place for children to sit when eating;
- facilities for the hygienic preparation, storage and/or serving of food and drink;
- kitchen and cooking facilities or appliances designed, located or fitted with safety devices.

**Criteria PF18 to 23** refer to *toilet and handwashing facilities*, and require the service provider to ensure that:

- the premises have at least one toilet for every 1-15 persons. Persons are defined as children aged two and older and teaching staff that count towards the required adult:child ratio;
- the premises have at least one tap delivering warm water (over an individual or shared handbasin) for every 15 persons at the service;
- toilet and associated handwashing/drying facilities are designed to permit safe access by children and located away from play or food preparation areas.
- there is means of drying hands for children and adults to prevent spread of infection;
- there is a toilet suitable for adults to use.

**Criteria PF24 to 28** refer to other *sanitary facilities* at the service, such as a requirement to:

- install a tempering valve or other accurate means of limiting hot water temperature to meet *criterion HS13*;
- ensure there are nappy changing facilities of rigid and stable construction that can be kept hygienically clean;
- ensure there are suitable facilities provided for washing sick and soiled children including documentation outlining how the service will ensure hygiene and infection control outcomes are met;
- ensure there is space (away from where food is stored, prepared, or eaten) where sick children can be supervised;
- ensure that there is a first aid kit that complies with the requirements of Appendix 1 of the Licensing Criteria.

**Criteria PF29 to 38** refer to *sleep* facilities, and require the service provider to:

- ensure that furniture and items intended for children to sleep on are designed for their safety;
- ensure that clean individual bedding is provided that is sufficient to keep children warm.

For *Sessional Services only*, the service provider must ensure that:

- a safe and comfortable place to sleep for children aged two and older;
- a designated space is located and designed to available to support the provision of sleep;
- furniture or items intended for children to sleep on are provided at a ratio of at least one to every 5 children under the age of two.

For *All-day Services only*, the service provider must ensure that:

- space is available for children aged two and older to sleep or rest for a reasonable period each day, and there is alternative activity spaces for children not sleeping;
- furniture or items intended of children to sleep on are available for children aged two or older;
- there is room available to support sleep for children under two years at any time and the room is able to be closed off, has a viewing window, and is large enough to meet the requirements of PF38 and HS10;
- furniture and items intended for children to sleep on are provided at a ratio of at least one to every 2 children under two years.

#### ***Schedule 4 of the Education (Early Childhood Services) Regulations 2008 – Activity Spaces***

Schedule 4 specifies that licensed centres are required to have 2.5 square metres, per child, of indoor activity space. Indoor space is calculated by excluding the space occupied by all fittings, fixed equipment and goods. It excludes passage ways, toilet facilities, staff rooms, specific sleeping areas for children under 2 years of age and other areas not available for play.

The size requirements for outdoor space will depend on the type of early childhood service. Schedule 4 specifies the licensed centre will require a minimum of 5 square metres per child, or a minimum number of square metres per child determined by the Secretary of Education under regulation 54(3).

#### ***Building Act 2004***

The Building Act establishes a series of minimum safety standards (building regulations), which must be complied with. The purpose of these regulations is to ensure all new buildings and alterations are constructed to a standard that ensures the safety of the occupants.

The purposes of the Building Act 2004 (Section 3) are to provide for the regulation of building work, the establishment of a licensing regime for building practitioners, and the setting of performance standards for buildings, to ensure that-

- (a) people who use buildings can do so safely and without endangering their health; and
- (b) buildings have attributes that contribute appropriately to the health, physical independence, and well-being of the people who use them; and
- (c) people who use a building can escape from the building if it is on fire; and
- (d) buildings are designed, constructed, and able to be used in ways that promote sustainable development.

Sections 118 to 120 of the Building Act require building owners to ensure access, facilities and signage are in place to cater for the needs of disabled staff, children and visitors when constructing a new building or altering any building.



**Criterion PF3** requires licensed centres to conform to any relevant bylaws of the local authority and the Building Act 2004.

Licensed centres are also required to have the following documentation:

1. Code Compliance Certificate issued under section 95 of the Building Act 2004 for any building work undertaken, or alternatively any other documentation that shows evidence of compliance.
2. Current Annual Building Warrant of Fitness (if the premises require a compliance schedule under section 100 of the Building Act 2004).

### ***Resource Management Act 1991***

This Act may require compliance before the premises are used as a licensed centre and before its buildings are altered or extended. This is the responsibility of the owner of the proposed premises.

### **Useful Resources**

<http://www.education.govt.nz/early-childhood/running-an-ece-service/the-regulatory-framework-for-ece/licensing-criteria/centre-based-ece-services/> – refer to *Centre based ECE services, Premises and facilities*.

*New Zealand Standard (NZS) EN 5828: 2004: Playground Equipment and Surfacing*  
( <http://shop.standards.co.nz/catalog/5828%3A2004%28NZS%29/view> )

*New Zealand Standard (NZS) 4121:2001: Design for access and Mobility: Buildings and Associated Facilities*  
( <http://shop.standards.co.nz/catalog/4121%3A2001%28NZS%29/view> )

## Section Three

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### Health and Safety Practices Standard Guide

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#### Key Legislation

- Education Act 1989.
- Education (Early Childhood Services) Regulations 2008.
- Building Act 2004.
- Fire and Emergency New Zealand Act 2017.
- Fire Safety, Evacuation Procedures and Evacuation Schemes Regulations 2018
- Health and Safety at Work Act 2015
- Health (Immunisation) Regulations 1995.
- Human Rights Act 1993.
- Smoke-Free Environments Act 1990.
- Vulnerable Children Act 2014
- Vulnerable Children (Requirements for Safety Checks of Children’s Workers) Regulations 2015
- Food Act 2014 and Food Regulations 2015

#### Key Documents

- Licensing Criteria for Early Childhood Education and Care Centres 2008

#### Introduction

The service provider is required to meet the health and safety practices standard under regulation 46 of the Education (Early Childhood Services) Regulations 2008. In addition the service provider must comply with the certification criteria and produce supporting documentation as set out in the *Licensing Criteria for Early Childhood Education and Care Centres 2008 – Health and safety*.

The minimum health and safety practices in regulation 46 of the Education (Early Childhood Services) Regulations 2008 are set out below, followed by a summary of the criteria against which compliance will be assessed.

### ***Regulation 46 – Health and safety practices standard: general***

- (1) The health and safety practices standard: general is the standard that requires every licensed service provider to whom this regulation applies to—
  - (a) take all reasonable steps to promote the good health and safety of children enrolled in the service; and
  - (b) take all reasonable precautions to prevent accidents and the spread of infection among children enrolled in the service; and
  - (c) take all reasonable steps to ensure that the premises, facilities, and other equipment on those premises are—
    - (i) kept in good repair; and
    - (ii) maintained regularly; and
    - (iii) used safely and kept free from hazards; and
  - (d) take all reasonable steps to ensure that appropriate procedures are in place to deal with fires, earthquakes, and other emergencies.
- (2) Each licensed service provider to whom this regulation applies must comply with the Health and safety practices standard: general.

### **Key Requirements**

#### ***Licensing Criteria for Early Childhood Education and Care Centres 2008***

#### **Clause 8 - Criteria to assess Health and safety practices standard**

##### Hygiene

Under **Criteria HS1 to HS3** the service provider is required to ensure that:

- the premises, furniture, furnishings, fittings, equipment, and materials are kept safe, hygienic and maintained in good condition;
- linen used by children or adults is hygienically laundered and that there is documentation;
- there is a procedure for the changing (and disposal, if appropriate) of nappies which is displayed near the nappy changing facilities and consistently implemented.

##### Emergencies

**Criteria HS4 to HS8** require the service provider to ensure that:

- the premises have a current Fire Evacuation Scheme approved by the New Zealand Fire Service including supporting documentation;
- the designated assembly areas for evacuation purposes do not unnecessarily place children at further risk;
- the heavy furniture, fixtures, and equipment that could fall or topple and cause serious injury or damage are secured;
- there is a written procedure and supplies such as food, water, and spare clothes, necessary for ensuring the care and safety of children attending the service in the case of an evacuation or other emergency. Supporting documentation is required, including a procedure for dealing with emergencies, and an evacuation procedure for the premises;

- adults providing education and care are familiar with relevant emergency drills and regularly carry these out with the children. Supporting documentation is required.

### Sleep

**Criteria HS9 to HS11** require the service provider to ensure that:

- a procedure for monitoring children's sleep is displayed and implemented and a record of children's sleep times is kept including supporting documentation;
- furniture or items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) are arranged and spaced;
- if not permanently set up, furniture or items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) and bedding is hygienically stored when not in use.

### Hazards and excursions

Under **Criteria HS12 to HS18** the service provider is required to ensure that:

- equipment, premises, and facilities are regularly checked for hazards to children;
- accident/incident records are analysed to identify hazards and appropriate action taken. All practicable steps are taken to eliminate, isolate, or minimise hazards to the safety of children. Consideration of hazards must include but is not limited to: cleaning agents, medicines, poisons, and other hazardous materials; electrical sockets and appliances (particularly heaters); hazards present in kitchen or laundry facilities; vandalism, dangerous objects, and foreign materials (e.g. broken glass, animal droppings); equipment faults; poisonous plants; and bodies of water;
- the temperature of warm water delivered from taps that are accessible to children is no higher than 40°C, and comfortable for children at the centre to use;
- water stored in any hot water cylinder is kept at a temperature of at least 60°C;
- all practicable steps are taken to ensure that noise levels do not unduly interfere with normal speech and/or communication, or cause any child attending distress or harm;
- safe and hygienic handling practices are implemented with regard to any animals at the service. All animals are able to be restrained;
- whenever children leave the premises on an outing or excursion:
  - assessment and management of risk is undertaken, and adult:child ratios are determined accordingly. Ratios are not less than the required adult:child ratio;
  - the first aid requirements in criterion HS25 are met in relation to those children and any children remaining at the premises;
  - parents have given prior written approval of their child's participation and of the proposed ratio for:
    - i. regular outings or excursions at the time of enrolment; and
    - ii. special outings or excursions prior to the outing or excursion taking place; and there are communication systems in place so that people know where the children are, and adults can communicate with others as necessary.

When children leave the premises on a regular or special outing or excursion the outing or excursion must be approved by the Person Responsible and there must be supporting documentation.

If children travel in a motor vehicle while in the care of the service:

- each child is restrained as required by Land Transport legislation;
- required adult:child ratios are maintained; and
- the written permission of a parent of the child is obtained before the travel begins (unless the child is travelling with their parent).

### Food and drink

**Criteria HS19 to 23** require the service provider to ensure that:

- food is served at appropriate times to meet the nutritional needs of each child while they are attending. Where food is provided by the service, it is of sufficient variety, quantity, and quality to meet these needs. Where food is provided by parents, the service encourages and promotes healthy eating guidelines including supporting documentation;
- food is prepared, served, and stored hygienically;
- an ample supply of water that is fit to drink is available to children at all times, and older children are able to access this water independently;
- children are supervised while eating;
- for *services licensed for under 2 year olds* - infants under the age of 6 months and other children unable to drink independently are held semi-upright when being fed. Any infant milk food given to a child under the age of 12 months is of a type approved by the child's parent.

### Child health and wellbeing

Under **Criteria HS24 to HS30** the service provider is required to ensure that:

- rooms used by children are kept at a comfortable temperature no lower than 16°C (at 500 mm above the floor) while children are attending.
- there is an adult present at all times for every 50 children attending (or part thereof) that:
  - holds a current First Aid qualification gained from a New Zealand Qualifications Authority accredited first aid training provider; or
  - is a registered medical practitioner or nurse with a current practising certificate; or
  - is a qualified ambulance officer or paramedic.

If a child is injured, any required first aid is administered or supervised by an adult meeting these qualification requirements.

All practicable steps are taken to ensure that children do not come into contact with any person (adult or child) on the premises who is suffering from a disease or condition likely to be passed on to children and likely to have a detrimental effect on them.

Specifically:

- the action specified in Appendix 2 is taken for any person (adult or child) suffering from particular infectious diseases; and
- children who become unwell while attending the service are kept at a safe distance from other children (to minimise the spread of infection) and returned to the care of a parent or other person authorised to collect the child without delay.

All practicable steps are taken to get immediate medical assistance for a child who is badly hurt in an accident or becomes seriously ill, and to notify a parent or caregiver of what has happened.

Medicine (prescription and non-prescription) is not given to a child unless it is given:

- by a doctor or ambulance personnel in an emergency; or
- by the parent of the child; or
- with the written authority (appropriate to the category of medicine) of a parent.

Medicines are stored safely and appropriately, and are disposed of, or sent home with a parent (if supplied in relation to a specific child) after the specified time.

Adults who administer medicine to children (other than their own) are provided with information and/or training relevant to the task.

Children are washed when they are soiled or pose a health risk to themselves or others.

### Child protection

Under **Criteria HS31 to 34** the service provider is required to ensure that:

- a written child protection policy that meets the requirements of the Vulnerable Children Act 2014
- all practicable steps are taken to protect children from exposure to inappropriate material (for example, of an explicitly sexual or violent nature);
- no person on the premises uses, or is under the influence of, alcohol or any other substance that has a detrimental effect on their functioning or behaviour during the service's hours of operation.
- where there is a serious injury or illness or incident involving a child that is required to be notified, service provider must inform a specified agency and the MOE.

### ***Vulnerable Children Act 2014 – Child Protection Policy***

The Vulnerable Children Act 2014 requires state sector agencies who work with children, and the organisations they fund, to have child protection policies. As ECE services are funded by the Ministry of Education, service providers will need to work towards meeting these requirements. The policy needs to contain provisions on the *identification and reporting of child abuse* and neglect. New guidelines have been launched to help service providers.<sup>5</sup> The guidelines include a review tool to help identify gaps in current policies, information about what to include in a new policy, and example policies.

### ***Food Act 2014***

ECE services that provide meals to children will need to meet the requirements of National Programme 2 under the Food Act. Services that only carry out minimal food handling (example cutting fruit and providing crackers and spreads) or where children bring lunchboxes are exempt from the Food Act.<sup>6</sup>

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<sup>5</sup> *Safer Organisations, Safer Children* from Children's Action Plan website – [www.childrensactionplan.govt.nz](http://www.childrensactionplan.govt.nz) ; [Vulnerable Children Act 2014 - a practical guide](#) ; [Vulnerable Children \(Requirements for Safety Checks of Children's](#)

<sup>6</sup> New ECE services must meet the requirements from 1/3/2016. Existing services must have applied to their local Territorial Authority for registration by 31/3/2017. Refer - [Food safety for ECE services \(Food Act requirements\)](#)

### ***Health and Safety at Work Act 2015<sup>7</sup>***

Under this Act, the ECE service as the person conducting a business or undertaking (PCBU) holds the primary duty of care for, and manages risks to, the health and safety of workers and others arising from the work of the school. The ECE service will exercise its primary duty of care by ensuring the health and safety of:

- its workers (e.g. teachers, managers, administrators, volunteer workers etc.) while at service and on excursions and outside the ECE premises
- other workers who are influenced or directed by the ECE service
- others (e.g. students/children, parents, members of the public, and visitors to the premises), by ensuring they are not put at risk from work carried out by the ECE service.

Officers are individual members of the ECE service occupying a position that allows them to *exercise significant influence* over the management of the service. It will depend on the size and structure of the individual service, and whether the individual exercises *significant influence* over the management of the ECE service. Their role is to exercise due diligence, which means that they must take reasonable steps to ensure that the ECE service (as the PCBU) meets its health and safety obligations.

There are a number of things your ECE service can do to comply:

- familiarise yourself with the key requirements of the legislation
- review your health and safety policies and practices
- identify health and safety risks in your workplace (a workplace includes any place where a worker goes, or is likely to be, while at work) and take all practicable steps to prevent these from causing harm
- make health and safety part of your workplace culture
- visit the MOE's dedicated health and safety webpage:  
[www.education.govt.nz/ministry-of-education/specific-initiatives/health-and-safety/](http://www.education.govt.nz/ministry-of-education/specific-initiatives/health-and-safety/) for guidance and updates

### ***Health Immunisation records***

Service providers are required to keep immunisation registers to record matters relating to the Health (Immunisation) Regulations 1995, for children aged 15 months and over attending the centre.

### ***Fire and Emergency New Zealand Act 2017/Fire Safety, Evacuation Procedures and Evacuation Schemes Regulations 2018***

The Fire and Emergency NZ (Fire Safety, Evacuation Procedures, and Evacuation Schemes) Regulations 2018 came into force on 1 July 2018, and are made under the Fire and Emergency NZ Act 2017 (the Act). The regulations require each centre to provide an evacuation procedure for the safe, expeditious and efficient evacuation of the occupants of the centre in the event of a fire, and staff to be trained to assist others to evacuate in accordance with the approved evacuation procedure for the centre.

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<sup>7</sup> This Act applies from 4 April 2016. For further information refer:  
[http://www.education.govt.nz/ministry-of-education/specific-initiatives/health-and-safety/factsheets/Implementing the Health and Safety at Work Act – a guide for early learning services](http://www.education.govt.nz/ministry-of-education/specific-initiatives/health-and-safety/factsheets/Implementing%20the%20Health%20and%20Safety%20at%20Work%20Act%20-%20a%20guide%20for%20early%20learning%20services)

Service providers must also ensure that there exists for the centre an operative evacuation scheme for public safety that meets the requirements of the Act.

The centre premises must have a current Fire Evacuation Scheme documentation approved by Fire and Emergency New Zealand [FENZ] (*Criterion HS4 of the Health and Safety practices standard*).

Trial evacuations are required at intervals of not more than 6 months [*Regulation 29(1)(a)*] and at any other additional time as required by FENZ, and notices are required to be posted in buildings showing how to get out of the building and the evacuation procedure. FENZ must be notified of the result of all trial evacuations (*Regulation 32*).

Evacuation Scheme application forms are available from the local Area Fire Safety Department of Fire and Emergency New Zealand.

### ***Building (Pools) Amendment Act 2016***

The above Act came into effect on 1 January 2017 and repealed the Fencing of Swimming Pools Act 1987 and included new pool safety provisions in the Building Act 2004.

The following information is from MOE website:

You must have fences and signage that meet the legal requirements and design standards set out in:

- [Health and Safety at Work Act 2015](#) (Legislation website)
- [Building Act 2004](#) (Legislation website)
- [Building Code \(including the new Clause F9 for pool fencing\)](#) (Building Performance website)
- [NZS 8500:2006 'Safety barriers and fences around swimming pools'](#) (Standards NZ website)

### ***Smoke-Free Environments Act 1990***

The Smoke-Free Environments Act requires centres to have smoke-free buildings and grounds at all times. The total smoke ban includes centre grounds during weekend sports games, fund-raising activities, community days or evening classes, as well as when the grounds or buildings are rented out by other groups. Service providers should also display smoke-free notices at every entry gate or building entrance, and that they take all reasonably practicable steps to ensure there is no smoking on their premises.

### ***Civil Defence***

Service providers should have written documentation of a procedure, and basic supplies for dealing with emergencies that are consistent with national or regional Civil Defence guidelines (see Criterion HS7 of the Health and safety practices standard) to provide a safe environment for children and parents who are present. The building in which the service meets should have a civil defence emergency kit.

Adults providing education and care must be familiar with relevant emergency drills and regularly carry these out with the children. The centre should have documentation of a record of emergency drills carried out with children (Criterion HS8 of the Health and Safety practices standard).



## Useful Resources

[Vulnerable Children Act 2014 - a practical guide](#) [PDF, 5.2 MB]

[Factsheets for schools, kura, early childhood education \(ECE\) services, kōhanga reo and playgroups on the key components of a health and safety system](#)

*ACC ThinkSafe Education*

Accident Compensation Corporation, 2005  
([www.acc.co.nz](http://www.acc.co.nz) and search under 'thinksafe').

*ACC Website*, especially *Child Safety Organisations* page (containing links to a wide range of health and safety-related sites)  
([www.acc.co.nz](http://www.acc.co.nz)).

*Action Packs for Kids*

([www.sparc.org.nz/getting-active/push-play-day/action-packs](http://www.sparc.org.nz/getting-active/push-play-day/action-packs)).

*Breaking the Cycle: Interagency Protocols for Child Abuse Management*

Child Youth and Family Services 1996  
([www.cyf.govt.nz](http://www.cyf.govt.nz)).

*Changes to the Smokefree Environments Act 1990: Information for Schools and Early Childhood Centres*

Ministry of Health, 2004  
([www.moh.govt.nz/moh.nsf](http://www.moh.govt.nz/moh.nsf)).

*Human Rights Commission Facts Sheets*

([www.hrc.co.nz](http://www.hrc.co.nz) and go to 'Resources and publications').

*The Human Rights Pathway*, Human Rights Commission Internet Resources for Schools

([www.pathway.hrc.co.nz](http://www.pathway.hrc.co.nz)).

*Influenza Pandemic Planning*

Ministry of Education, June 2006  
(<http://www.education.govt.nz/ministry-of-education/specific-initiatives/health-and-safety/work-place-management/pandemic-planning-kit/roles-and-responsibilities/> )

*Let's Stop Child Abuse Together: An Interagency Guide to Breaking the Cycle*

Child Youth and Family Services, 2001  
([www.cyf.govt.nz](http://www.cyf.govt.nz)).

*Netsafe Kit for Schools*

Internet Safety Group, 2003  
([www.netsafe.theoutfitgroup.co.nz/kits/kits\\_default.aspx](http://www.netsafe.theoutfitgroup.co.nz/kits/kits_default.aspx)).

*The New Zealand Disability Strategy*, Office of Disability Issues, 2001

([www.odi.govt.nz](http://www.odi.govt.nz) for strategy and FAQs about the Office of Disability Issues).

*New Zealand Fire Service: including information on Evacuation Procedures*  
([www.fire.org.nz](http://www.fire.org.nz)).

*New Zealand Standard (NZS) 4121: 2001: Design for Access and Mobility: Buildings and Associated Facilities*  
([www.standards.co.nz](http://www.standards.co.nz)).

*New Zealand Standard (NZS) EN 5828:2004: Playground Equipment and Surfacing*  
([www.standards.co.nz](http://www.standards.co.nz)).

*Pandemic Planning Kit for Early Childhood Education Centres, Schools and Tertiary Education Organisations*

Ministry of Education, June 2006

(<http://www.education.govt.nz/ministry-of-education/specific-initiatives/health-and-safety/work-place-management/pandemic-planning-kit/>)

*Sun Safety*

([www.sunsmartschools.co.nz](http://www.sunsmartschools.co.nz)).

*Treaty of Waitangi Resources for Schools*

Waitangi Tribunal

([www.waitangi-tribunal.govt.nz/forschools](http://www.waitangi-tribunal.govt.nz/forschools)).

*What's the Plan Stan?*

Ministry of Civil Defence and Emergency Management, 2006

([www.whatstheplanstan.govt.nz](http://www.whatstheplanstan.govt.nz)).

### ***Ministry of Education circulars***

- 1997/08 Responsibility of Early Childhood Service Staff to Children of Separated Parents.
- 1999/21 HIV/Aids and other Blood-borne viruses.
- 2001/15 Guidance for the Administration of Prescribed Medication in Early Childhood Services

## Section Four

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### Governance, Management and Administration Standard Guide

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#### Key Legislation

- The Education Act 1989.
- Education (Early Childhood Services) Regulations 2008.
- Privacy Act 1993.
- Vulnerable Children Act 2014
- Vulnerable Children (Requirements for Safety Checks of Children’s Workers) Regulations 2015
- Teaching Council Rules 2016

#### Key Documents

- Licensing Criteria for Early Childhood Education and Care Centres 2008

#### Introduction

The service provider of a licensed centre is required to meet the governance, management and administration standard under regulation 47 of the Education (Early Childhood Services) Regulations 2008. In addition, the service provider must comply with the certification criteria and produce certain documentation as set out in *Licensing Criteria for Early Childhood Education and Care Centres 2008 - Governance, management and administration*.

The minimum governance, management and administration standard in regulation 47 of the Education (Early Childhood Services) Regulations 2008 is set out below, followed by a summary of the criteria against which compliance will be assessed.

#### ***Regulation 47 – Governance, management and administration standard: general***

- (1) The governance, management, and administration standard: general is the standard that requires every licensed service provider to whom this regulation applies to ensure that—
  - (a) the service is effectively governed and is managed in accordance with good management practices; and
  - (b) the service provider regularly collaborates with—
    - (i) parents and family or whānau of children enrolled in the service; and
    - (ii) the adults responsible for providing education and care as part of the service; and
  - (c) appropriate documentation and records are—
    - (i) developed, maintained, and regularly reviewed; and
    - (ii) made available where appropriate—

- (A) at any reasonable time on request by a parent of a child enrolled in the service; and
  - (B) at any time on request by any person exercising powers or carrying out functions under Part 26 of the Act; and
  - (d) adequate information is made available to parents of enrolled children and, where appropriate, to the families or whānau of those children about the operation of the service; and
  - (e) all reasonable steps are taken to provide staff employed or engaged in the service with adequate professional support, professional development opportunities, and resources.
- (2) Each licensed service provider to whom this regulation applies must comply with the governance, management, and administration standard: general.

## **Key Requirements**

### ***Licensing Criteria for Early Childhood Education and Care Centres 2008***

#### **Clause 9 - Criteria to assess Governance, management and administration standard.**

##### ***Parent involvement and information***

Under **Criteria GMA1 to GMA4** the service provider is required to ensure that:

- the following are prominently displayed at the service for parents and visitors:
  - (i) the Education (Early Childhood Services) Regulations 2008, and the Licensing Criteria for Early Childhood Education and Care Centres 2008;
  - (ii) the full names and qualifications of each person counting towards regulated qualification requirements;
  - (iii) the service's current licence certificate; and
  - (iv) a procedure people should follow if they wish to complain about non-compliance with the Regulations or criteria, and the option to contact the local Ministry of Education office;
- parents are advised how to access information concerning their child, the service's operational documents (such as its philosophy, policies, and procedures and any other documents that set out how day to day operations will be conducted), and the most recent Education Review Office report regarding the service.
- information is provided to parents about how they can be involved in the service, any fees charged by the service, the amount and details of the expenditure of any Ministry of Education funding received by the service, and any planned reviews and consultation.
- parents of children attending the service and adults providing education and care are provided with opportunities to contribute to the development and review of the service's operational documents (such as philosophy, policies, and procedures and any other documents that set out how day to day operations will be conducted).

##### ***Professional practices***

Under **Criteria GMA5 to GMA7A** the service provider is required to ensure that:

- a philosophy statement guides the service's operation including supporting documentation.
- an ongoing process of self-review helps the service maintain and improve the quality of its education and care and supporting documentation to show a process for reviewing and evaluating the service's operation (for example, learning and teaching practices, philosophy, policies, and procedures) by the people involved in the service. The process is consistent with criterion GMA4, and includes a schedule showing timelines for planned review of different areas of operation and recorded outcomes from the review process.
- suitable human resource management practices are implemented and supporting documentation to show processes for human resource management including: selection and appointment procedures, job/role descriptions, induction procedures into the service, a system of regular appraisal, provision for professional development, a definition of serious misconduct, and discipline/dismissal procedures.
- all children's workers who have access to children are safety checked in accordance with the Vulnerable Children Act 2014

### Planning and documentation

Under Criteria **GMA8 to GMA12** the service provider is required to ensure that:

- an annual plan guides the service's operation including supporting documentation identifying 'who', 'what', and 'when' in relation to key tasks undertaken each year;
- an annual budget guides financial expenditure;
- enrolment records are maintained for each child attending, and records are kept for at least 7 years including documentation and records include at least: the child's full name, date of birth, and address; the name and address of at least 1 parent; details of how at least 1 parent (or someone nominated by them) can be contacted while the child attends the service; the name of the medical practitioner (or medical centre) who should, if practicable, be consulted if the child is ill or injured; details of any chronic illness/condition that the child has, and of any implications or actions to be followed in relation to that illness/condition; the names of the people authorised by the parent to collect the child; and any court orders affecting day to day care of, or contact with, the child.
- an attendance record is maintained that shows the times and dates of every child's attendance at the service. Records are kept for at least 7 years.
- documentation of an attendance record that meets the requirements outlined in the Early Childhood Education Funding Handbook for children currently attending, and children who have attended in the previous 7 years.
- required documentation is made available as appropriate to parents and government officials having right of entry to the service under Section 319B of the Education Act 1989.

### ***Section 319A Education Act 1989 – Parent's right of entry***

The parent or guardian of a child has a right of entry to a licensed early childhood education and care centre or to the premises where a licensed home-based education and care service is provided, whenever the child is there, except if the parent or guardian—

- (a) is subject to an order of a court that prohibits access to, or contact with, the child, either generally or with respect to the child while, or at a time when the child is, attending the centre or service; or
- (b) is subject to a warning under section 4 of the Trespass Act 1980 to stay off the premises; or
- (c) is suffering from a contagious or infectious disease likely to have a detrimental effect on the children if passed on to them; or
- (d) is, in the opinion of a person responsible for the operation of the centre or service, under the influence of alcohol or any other substance that has a detrimental effect on the functioning or behaviour of the person; or
- (e) is, in the opinion of a person responsible for the operation of the centre or service, exhibiting behaviour that is or is likely to be disruptive to the effective operation of the centre or service.

### ***Education (Registration of Early Childhood Services Teachers) Regulations 2004***

Early childhood services are covered by the teacher registration requirements in Part 10 of the Education Act 1989.

Regulation 4 declares ‘**early childhood service**’ defined under section 120 of the Education Act to be an ‘**early childhood education and care service**’ covered by Part 10 of the Education Act 1989 which requires teacher registration. These are licensed ‘**early childhood services**’. Free kindergartens (which are already covered by Part 10), playcentres affiliated to the New Zealand Playcentre Federation, and kohanga reo affiliated to the Te Kohanga Reo National Trust Board are excluded.

Persons affected by the regulations are those employed by early childhood services in ‘**teaching positions**’ as defined in regulation 6. This group covers ‘**person responsible**’ (regulation 3) in relation to a licensed centre.

### ***Children’s worker – Safety Checks<sup>8</sup>***

Children’s worker safety checks became law in the Vulnerable Children Act 2014 (the VCA), and applies to new workers in core children’s workforce roles from 1 July 2015.

Briefly, the following checks must have been completed where the service provider is seeking to employ or engage a new children’s worker<sup>9</sup> (including as a contractor) from 1 July 2015 for core children’s workforce roles, and from 1 July 2016 for non-core children’s workforce roles:

- Identity verification - proof people are who they say they are, including previous identities
- Information requirement – reliable information about history and behaviour, which may include reference checks, interviews, and Police vetting
- Risk assessment – considered judgement based on the information collected
- Periodic re-checking – information to be updated and reassessed every three years.

The VCA prohibits people with certain child abuse, sexual offending, or violence convictions from working in core worker roles. These are specified in the Act. Anyone convicted of the offences listed in the Act will not be able to work in core worker roles unless they are granted an exemption. The Ministry of Social Development manages applications for exemptions.

The following resources will help you meet your safety checking requirements:

- [New and existing employees](#)
- [Students on practicum](#)
- [Relievers](#)
- [Adult checks](#)

### ***Police Vetting of Non-teaching and Unregistered Employees/Contractors<sup>10</sup>***

The service provider of a licensed centre must obtain a Police vet of every person-:

- (i) whom the service provider appoints, or intends to appoint, to a position at the service; and
  - (ii) who is to work at the service during normal opening hours; and
  - (iii) who is not a registered teacher or holder of a LAT.
- The Police vet must be obtained before the person has, or is likely to have, unsupervised access to children at the service during normal opening hours. The application for the police vet must be made no later than 2 weeks after the person begins work at the service.
  - Further Police vets must be obtained on or about the third anniversary of the previous Police vet.

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<sup>8</sup> Also refer to GMA7A

<sup>9</sup> Example: teachers, person responsible, teacher aides, support staff who have regular contact with children. [Vulnerable Children Act 2014 - a practical guide](#) ; [Vulnerable Children \(Requirements for Safety Checks of Children’s](#)

<sup>10</sup> **Note:** The following is a summary of sections 319D to 319FA of the Education Act 1989.

- A Police vet must be obtained of every contractor or the contractor’s employee who has, or is likely to have, unsupervised access to children at the service during normal opening hours:
  - a) before the person has, or is likely to have unsupervised access to children at the service during normal opening hours; and
  - b) any contractor on whom a police vet has been conducted within the last three years, on or about the third anniversary of the previous police vet.

In relation to any person who is subject to Police vets, the service provider:

- must ensure that strict confidentiality is observed for Police vets; and
- must not take adverse action until-
  - (i) the person has validated the information contained in the vet; or
  - (ii) the person has been given a reasonable opportunity to validate the information, but has failed to do so with a reasonable period.

“**unsupervised access to children**”, in relation to a licensed centre means access to any child that is not access by, or supervised by, or otherwise observed by, or able to be directed (if necessary) by, any 1 or more of the following:

- a registered teacher or holder of a LAT;
- an employee of the service on whom a satisfactory Police vet has been conducted within the last 3 years;
- a parent of the child.

### ***Mandatory Reporting***

The person or body who appoints staff at the centre/service as the ‘employer’ must immediately report to the Education Council when (among other things) the employer dismisses a person responsible (who is registered) for any reason, or has reason to believe that the person responsible has engaged in serious misconduct or has not reached the required level of competence. Service providers should refer to sections 392 – 395 of the Education Act 1989 for details.

*[These sections also apply to persons in teaching positions in kindergartens.]*

### ***Teaching Council Rules 2016***<sup>11</sup>

The Rules cover a number of areas relating to relating to reports, complaints, and other matters concerning teacher conduct and competence. The Rules also contain provisions about Police vetting. In summary, the Rules—

- set out how to make a mandatory report or a complaint to the Education Council about a teacher; and
- set out the criteria for reporting serious misconduct and competence issues; and
- provide a procedure for the chief executive of the Education Council to deal with reports and complaints about teachers in the first instance; and
- provide for the membership of a Competence Authority, and for competence assessors, to carry out functions of the Education Council relating to competence matters; and

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<sup>11</sup> These rules apply from 1 July 2016



- provide for investigators to investigate matters concerning a teacher's conduct; and
- establish a Complaints Assessment Committee to investigate matters relating to misconduct and reports of convictions; and
- establish a Disciplinary Tribunal to conduct hearings relating to misconduct and convictions; and
- provide for the practices and procedures of the Complaints Assessment Committee and the Disciplinary Tribunal; and
- provide for procedural requirements for Police vetting of applicants for registration as a teacher or for an authority to teach.

### ***Fit and Proper Persons***

Regulation 8 of the *Education (Early Childhood Services) Regulations 2008* requires the Secretary for Education to consider whether the service provider is a *fit and proper* person, based on matters which are identical to those set out in the statutory declaration made by the service provider at the time of application for licence under Regulation 7.

Under Regulation 35, the service provider who has applied for a licence or is the holder of a current licence must advise the Secretary for Education, as soon as practicable, of any change of their circumstances of the kind referred to in Regulation 7 and made in the statutory declaration, which among other things, includes any previous conviction for any offence involving harm to children, violence, or fraud.

### ***Human Rights Act 1993***

The Human Rights Act is designed to help ensure that people are treated fairly. It prohibits certain discriminatory practices in relation to the employment and treatment of employees. The grounds of discrimination in section 21 of the Act include religious belief, ethical belief, colour, race, ethnic or national origins, disability, age, political opinion, sex, employment status, family status, sexual orientation and marital status.

Discrimination can be direct or indirect. Direct discrimination occurs when a person is treated unfairly or less favourably than another person in the same or similar circumstances. Indirect discrimination occurs when an action or policy that appears to treat everyone in the same way, actually has a discriminatory effect on a person or group.

Centre management have obligations to ensure staff are not subjected to sexual harassment. Under the Human Rights Act, employers can be liable for sexual harassment committed by their employees. Centre management can work towards providing a safe physical and emotional learning environment for all by developing prevention of sexual harassment policies and procedures for children and employees.

The Act uses an expanded definition of 'employment'. It applies to employees, voluntary workers, people seeking work, and contract workers. This means the Act applies to a number of people who are not covered by other employment legislation, such as the Employment Relations Act 2000, which only applies to employees. The Act covers advertisements, job applicants, employment opportunities and conditions for employees and how employees leave their employment.

Section 102 of the Employment Relations Act 2000 provides for personal grievances under that Act. Under section 103 a personal grievance can be made because of sexual harassment by an employer or a representative of an employer.

***State Sector Act 1988 (applies to kindergartens only)***

Section 77A of the State Sector Act 1988 applies to kindergarten associations.

The Act requires the employer to:

- (a) operate a personnel policy that complies with the principle of being a good employer; and
- (b) make that policy (including the equal employment opportunities programme) available to its employees; and
- (c) ensure its compliance with that policy (including its equal employment opportunities programme) and report in its annual report (if any) on the extent of its compliance.

A "good employer" is an employer who operates a personnel policy containing provisions generally accepted as necessary for the fair and proper treatment of employees in all aspects of their employment, including provisions requiring-

- (a) Good and safe working conditions; and
- (b) An equal employment opportunities programme; and
- (c) The impartial selection of suitably qualified persons for appointment; and
  
- (d) Recognition of -
  - (i) The aims and aspirations of the Maori people;
  - (ii) The employment requirements of the Maori people; and
  - (iii) The need for greater involvement of the Maori people in the Education service.
- (e) Opportunities for the enhancement of the abilities of individual employees; and
- (f) Recognition of the aims and aspirations and employment requirements, and the cultural differences, of ethnic or minority groups; and
- (g) Recognition of the employment requirements of women; and
- (h) Recognition of the employment requirements of persons with disabilities.

In addition to the requirements of this section specified above, each employer shall ensure that all employees maintain proper standards of integrity, conduct, and concern for-

- (a) The public interest; and
- (b) The wellbeing of children attending the institution.

***Employment Relations Act 2000***

The object of the Employment Relations Act 2000 is to build employment relationships through the promotion of good faith in all aspects of the employment environment and of the employment relationship.

### ***Individual and collective employment agreements***

Management should ensure they are familiar with the terms and conditions of any employment agreement that governs their relationship with their employees.

### ***Appraisal of Staff***

The Teaching Council requires professional leaders of schools to appraise staff in teaching positions based on the *Standards for the Teaching Profession*<sup>12</sup> established and maintained by the Teaching Council for the issue and renewal of practising certificates under Part 31 of the Education Act 1989. The *Standards for the Teaching Profession or Ngā Tikanga Matatika, Ngā Paerewa*. [Māori medium] are made up of six standards that provide holistic descriptions of what high-quality teaching practice looks like.

*Code of Professional Responsibility*<sup>13</sup> applies to all certified teachers and those who have been granted a Limited Authority to Teach, in every role and teaching context. It is a set of aspirations for professional behaviour, and is binding on all teachers who hold a practising certificate and all authorised persons.

### ***Privacy Act 1993***

Service providers must ensure that they are familiar with the principles of the Privacy Act, and that there are policies and procedures in place to ensure personal information is collected, stored, used and disclosed in accordance with those principles.

### **Useful Resources**

[\*Information on other legislation for ECE services and kōhanga reo\*](#)

[\*Vulnerable Children Act 2014\*](#)

[\*Vulnerable Children Act 2014 - a practical guide\*](#)

[\*Safer organisations, Safer children \[PDF; 1.06MB\]\*](#)

[\*Police vetting for early learning services\*](#)

[\*Emergencies and traumatic incidents in ECE\*](#)

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<sup>12</sup> Standards for the Teaching Profession.-implementation by 1 January 2018

<sup>13</sup> Code of Professional Responsibility and Standards for the Teaching Profession.

**Centre  
Assurance Statement  
and Self-Audit Checklists**

**[For Services Licensed under 2008 Regulatory Framework]**

*January 2017*

## **How to fill out the Self-Audit Checklists and Centre Assurance Statement**

As part of the review process, the Education Review Office (ERO) asks the service provider/contact person of each licensed centre to complete a **Self-Audit Checklist** and a **Centre Assurance Statement (CAS)**. The information in each of these documents assists ERO in the scoping and planning of the review.

Completing the checklists and the CAS will be a useful process for your own self review. Please read the Guidelines for Centre Assurance Statement before completing these forms.

### ***How to fill in the Checklists***

The checklists cover requirements of key interest to ERO in the following standards:

- Curriculum
- Premises and Facilities
- Health and Safety Practices
- Governance, Management and Administration

Please complete each sheet and add any further comments or explanations on the sheet of paper provided. Please use extra paper if you need to. Attach any explanations or matters you are unsure about to the relevant sheet.

### ***How to fill in the Centre Assurance Statement***

After you have completed all the checklist sheets please complete and sign the CAS. The second page of the CAS is to note areas where you are aware that you are not meeting legal requirements. There is space for you to outline the circumstances and the action you are taking on each issue. This information will be very useful for you as well as for the review.

**Please remember to attach your checklists to your Centre Assurance Statement.**



*This page is for you to note areas where you are aware that you are not meeting legal requirements and to advise any action you are taking.*

***Identified area(s) of non-compliance:***

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***Action being taken to address non-compliance***

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## Self-Audit Checklist

### Section 1 – Curriculum standard

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#### What does ERO want to know?

ERO wants to know that the service provider meets the curriculum standard and the certification criteria in terms of the regulatory requirements, implements the *Early Childhood Education Curriculum Framework* as gazetted, and has the required documentation to demonstrate compliance with the relevant criteria.

<i>Criteria to assess curriculum standard</i> <i>Please tick all questions including bullet points.</i>	Yes	No	Unsure
<b>1 Professional Practice</b>  <i>Criterion C1</i> Is the service curriculum consistent with the Early Childhood Education Curriculum Framework?  <i>Criterion C2</i> Is the service curriculum informed by assessment, planning, and evaluation (documented and undocumented) that demonstrates an understanding of children’s learning, their interests, whānau, and life contexts?  <i>Criterion C3</i> Do adults providing education and care, engage in meaningful, positive interactions to enhance children’s learning and nurture reciprocal relationships?  <i>Criterion C4</i> Do the practices of adults providing education and care demonstrate an understanding of children’s learning and development, and knowledge of relevant theories and practice in early childhood education?			
<b>2 Culture and identity</b>  <i>Criterion C5</i> Does the service curriculum acknowledge and reflect the unique place of Māori as tangata whenua?  Are children given the opportunity to develop knowledge and an understanding of the cultural heritages of both parties to Te Tiriti o Waitangi?  <i>Criterion C6</i> Does the service curriculum respect and support the right of each child to be confident in their own culture and encourage children to understand and respect other cultures?			



<i>Criteria to assess curriculum standard</i>		Yes	No	Unsure
3	<b>Children as learners</b>			
	<i>Criterion C7</i> Is the service curriculum inclusive, and responsive to children as confident and competent learners?			
	Are children's preferences respected, and are they involved in decisions about their learning experiences?			
	<i>Criterion C8</i> Does the service curriculum provide a language-rich environment that supports children's learning?			
	<i>Criterion C9</i> Does the service curriculum provide children with a range of experiences and opportunities to enhance and extend their learning and development – both indoors and outdoors, individually and in groups?			
	<i>Criterion C10</i> Does the service curriculum support children's developing social competence and understanding of appropriate behaviour?			
4	<b>Working with others</b>			
	<i>Criterion C11</i> Are positive steps taken to respect and acknowledge the aspirations held by parents and whānau for their children?			
	<i>Criterion C12</i> Are regular opportunities (formal and informal) provided for parents to:			
	<ul style="list-style-type: none"> <li>• communicate with adults providing education and care about their child, and share specific evidence of the child's learning; and</li> <li>• be involved in decision-making concerning their child's learning?</li> </ul>			
	<i>Criterion C13</i> Is information and guidance sought when necessary from agencies/services to enable adults providing education and care to work effectively with children and their parents?			

<i>Criteria to assess curriculum standard</i>	Yes	No	Unsure
<p><b>5 Documentation</b></p> <p>Is there documentation that provides evidence of the service's compliance with criteria C1 to C13?</p> <p><i>Note: Documentation may take a variety of forms to suit the service's operation (such as portfolios, wall displays, policies and procedures) but must include:</i></p> <ol style="list-style-type: none"> <li>1. A process for providing positive guidance to encourage social competence in children (C10);</li> <li>2. A process for providing formal and informal opportunities for parents to: <ul style="list-style-type: none"> <li>• communicate with adults providing education and care about their child, and share specific evidence of the child's learning; and</li> <li>• be involved in decision-making concerning their child's learning (C12).</li> </ul> </li> <li>3. A record of information and guidance sought from agencies and/or services (C13).</li> </ol>			
<p><b>6 Curriculum Framework - The Principles</b></p> <p>Has the service provider ensured that:</p> <ul style="list-style-type: none"> <li>• The service's curriculum empowers children to learn and grow?</li> <li>• The service's curriculum reflects the holistic way children learn and grow?</li> <li>• The wider world of family and community is an integral part of early childhood curriculum?</li> <li>• Children learn through responsive and reciprocal relationships with people, places and things?</li> </ul> <p><b>The Strands</b></p> <ul style="list-style-type: none"> <li>• The health and well-being of the child are protected and nurtured?</li> <li>• Children and their families feel a sense of belonging?</li> <li>• Opportunities for learning are equitable and each child's contribution is valued?</li> <li>• The languages and symbols of children's own and other cultures are promoted and protected?</li> <li>• The child learns through active exploration of the environment?</li> </ul>			



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**Self-Audit Checklist**  
*Section 2 – Premises and facilities standard*

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**What does ERO want to know?**

ERO wants to know that the centre meets the minimum premises and facilities standard and the licensing criteria in terms of the regulatory requirements, and that the service provider has the required documentation to demonstrate compliance with the relevant criteria including other relevant legislative requirements.

<i>Criteria to assess premises and facilities standard</i>	Yes	No	Unsure
<i>Please tick all questions including bullet points.</i>			
1 <i>Criterion PF1</i> Does the design and layout of the premises: <ul style="list-style-type: none"> <li>• Support the provision of different types of indoor and outdoor experiences; and</li> <li>• Include quiet spaces, areas for physically active play, and space for a range of individual and group learning experiences appropriate to the number, ages, and abilities of children attending?</li> </ul>			
	<i>Criterion PF2</i> Does the design and layout of the premises support effective adult supervision so that children’s access to the licensed space (indoor and outdoor) is not unnecessarily limited?		

<b><i>Criteria to assess Premises and facilities standard</i></b>	<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<p><b>2 General</b></p>			
<p><i>Criterion PF3</i> Do the premises conform to any relevant bylaws of the local authority and the Building Act 2004?</p>			
<p><i>Documentation:</i></p> <ol style="list-style-type: none"> <li>1. Code Compliance Certificate issued under section 95 of the Building Act 2004 for any building work undertaken, or alternatively any other documentation that shows evidence of compliance.</li> </ol>			
<ol style="list-style-type: none"> <li>2. Current Annual Building Warrant of Fitness (if the premises require a compliance schedule under section 100 of the Building Act 2004).</li> </ol>			
<p><i>Criterion PF4</i> Are sufficient quantity of (indoor and outdoor) furniture, equipment, and materials provided that are appropriate for the learning and abilities of the children attending?</p>			
<p><i>Criterion PF5</i> Are all indoor and outdoor items and surfaces, furniture, equipment and materials safe and suitable for their intended use?</p>			
<p><i>Criterion PF6</i> Are floor surfaces durable, safe, and suitable for the range of activities to be carried out at the service (including wet and messy play), and can they easily be kept clean?</p>			
<p><i>Criterion PF7</i> Are any windows or other areas of glass accessible to children either:</p>			
<ul style="list-style-type: none"> <li>• made of safety glass; or</li> </ul>			
<ul style="list-style-type: none"> <li>• covered by an adhesive film designed to hold the glass in place in the event of it being broken; or</li> </ul>			
<ul style="list-style-type: none"> <li>• effectively guarded by barriers which prevent a child striking or falling against the glass?</li> </ul>			
<p><i>Criterion PF8</i> Are there sufficient spaces for equipment and material to be stored safely?</p>			
<p>Can stored equipment and materials be easily accessed by adults, and where practicable, by children?</p>			

<b><i>Criteria to assess Premises and facilities standard</i></b>	<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<i>Criterion PF9</i>			
Is there space for adults working at the service to:			
<ul style="list-style-type: none"> <li>• use for planned breaks;</li> </ul>			
<ul style="list-style-type: none"> <li>• meet privately with parents and colleagues;</li> </ul>			
<ul style="list-style-type: none"> <li>• store curriculum support materials; and</li> </ul>			
<ul style="list-style-type: none"> <li>• assess, plan, and evaluate?</li> </ul>			
<i>Criterion PF10</i>			
Are there facilities (other than those required for PF26) or alternative arrangements available for the preparation and cleaning of paint and other art materials?			
<i>Criterion PF11</i>			
Is there a telephone on which calls can be made to and from the service?			
<i>Criterion PF12</i>			
Do parts of the building or buildings used by children have:			
<ul style="list-style-type: none"> <li>• lighting (natural or artificial) that is appropriate to the activities offered or purpose of each room;</li> </ul>			
<ul style="list-style-type: none"> <li>• ventilation (natural or mechanical) that allows fresh air to circulate (particularly in sanitary and sleep areas);</li> </ul>			
<ul style="list-style-type: none"> <li>• a safe and effective means of maintaining a room temperature of no lower than 16 degrees C; and</li> </ul>			
<ul style="list-style-type: none"> <li>• acoustic absorption materials if necessary to reduce noise levels that may negatively affect children's learning or wellbeing?</li> </ul>			
<i>Criterion PF13</i>			
Is outdoor activity space:			
<ul style="list-style-type: none"> <li>• connected to the indoor activity space and can be easily and safely accessed by children;</li> </ul>			
<ul style="list-style-type: none"> <li>• safe, well-drained, and suitably surfaced for a variety of activities;</li> </ul>			
<ul style="list-style-type: none"> <li>• enclosed by structures and/or fences and gates designed to ensure that children are not able to leave the premises without the knowledge of adults providing education and care;</li> </ul>			
<ul style="list-style-type: none"> <li>• not unduly restricted by Resource Consent conditions with regards to its use by the service to provide for outdoor experiences; and</li> </ul>			
<ul style="list-style-type: none"> <li>• available for the exclusive use of the service during hours of operation?</li> </ul>			

<b>Criteria to assess Premises and facilities standard</b>		<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<p><i>Criterion PF14</i> Are there safe and comfortable (indoor and outdoor) spaces for infants, toddlers or children not walking to lie, roll, creep, crawl, pull themselves up, learn to walk, and to be protected from more mobile children?</p> <p>[Applies only to services licensed for under 2 year olds]</p>				
<b>3</b>	<b>Food preparation and eating spaces</b>			
	<p><i>Criterion PF15</i> Is there a safe and hygienic place for children attending to sit when eating?</p>			
	<p><i>Criterion PF16</i> Are there facilities for the hygienic preparation, storage and/or serving of food and drink that contain:</p> <ul style="list-style-type: none"> <li>• a means of keeping perishable food at a temperature at or below 4 degrees C and protected from vermin and insects;</li> </ul>			
	<ul style="list-style-type: none"> <li>• a means of cooking and/or heating food;</li> </ul>			
	<ul style="list-style-type: none"> <li>• a means of hygienically washing dishes;</li> </ul>			
	<ul style="list-style-type: none"> <li>• a sink connected to a hot water supply;</li> </ul>			
	<ul style="list-style-type: none"> <li>• storage; and</li> </ul>			
	<ul style="list-style-type: none"> <li>• food preparation surfaces that are impervious to moisture and can be easily maintained in a hygienic condition?</li> </ul>			
<p><i>Criterion PF17</i> Are kitchen and cooking facilities or appliances designed, located, or fitted with safety devices to ensure that children cannot access them without assistance or supervision?</p>				
<b>4</b>	<b>Toilet and handwashing facilities</b>			
	<p><i>Criterion PF18</i> Is there at least 1 toilet for every 1-15 persons? (Persons are defined as children aged two and older and teaching staff that count towards the required adult:child ratio.)</p>			
<p><i>Criterion PF19</i> Is there at least 1 tap delivering warm water (over an individual's or shared hand basin) for every 15 persons (or part thereof) at the service (that is to say, children attending and adults counting towards the required adult:child ratio)?</p>				





<p>children?</p> <p><i>Documentation:</i> A procedure outlining how the service will ensure hygiene and infection control outcomes are met when washing sick or soiled children.</p> <p><i>Criterion PF27</i> Is there space (away from where food is stored, prepared, or eaten) where a sick child can:</p> <ul style="list-style-type: none"> <li>• be temporarily kept at a safe distance from other children (to prevent cross-infection);</li> <li>• lie down comfortably; and</li> <li>• be supervised?</li> </ul> <p><i>Criterion PF28</i> Is there a first aid kit that:</p> <ul style="list-style-type: none"> <li>• complies with the requirements of Appendix 1 of the <i>Licensing Criteria for Early Childhood Education and Care Centres 2008</i>; and</li> <li>• is easily recognisable and readily accessible to adults; and</li> <li>• is inaccessible to children?</li> </ul>			
<p><b>6 Sleep</b></p> <p><i>Criterion PF29</i> Are furniture and items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) of a size that allows children using them to lie flat, and are of a design to ensure their safety?</p> <p><i>Criterion PF30</i> Are furniture and items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) that will be used by more than one child over time securely covered with or made of a non-porous material (that is, a material that does not allow liquid to pass through it) that:</p> <ul style="list-style-type: none"> <li>• protects them becoming soiled;</li> <li>• allows for easy cleaning (or is disposable); and</li> <li>• does not present a suffocation hazard to children?</li> </ul>			
<b><i>Criteria to assess Premises and facilities standard</i></b>	<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<p><i>Criterion PF31</i> Are clean individual bedding (such as blankets, sheets, sleeping bags, and pillowslips) provided for sleeping or</p>			

resting children that is sufficient to keep them warm?			
<i>Criterion PF32</i> <i>SESSIONAL SERVICES ONLY:</i> Is a safe and comfortable place to sleep (such as a bed, stretcher, mattress, or couch) available for children aged two and older that require sleep or rest during a session?			
<i>Criterion PF33</i> <i>ALL-DAY SERVICES ONLY:</i> Is space available for children aged two and older to sleep or rest for a reasonable period of time each day?			
If space used for sleeping or resting is part of the activity space, are there alternative spaces for children not sleeping or resting as necessary?			
<i>Criterion PF34</i> <i>ALL-DAY SERVICES ONLY:</i> Are furniture or items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) available for the sleep or rest of children aged two and older?			
<i>Criterion PF35</i> <i>SESSIONAL SERVICES ONLY:</i> Is a designated space available to support the provision of a restful sleep for children under the age of two at any time they are attending?			
Is this space located and designed to:			
<ul style="list-style-type: none"> <li>• minimise fluctuations in temperature, noise and lighting levels;</li> <li>• allow adequate supervision; and</li> <li>• accommodate at least the requirements of <i>criterion PF36</i>, when arranged in accordance with <i>criterion HS10</i></li> </ul>			
<i>Criterion PF36</i> <i>SESSIONAL SERVICES ONLY:</i> Are furniture or items intended for children to sleep on (such as cots, stretchers, or mattresses) provided at a ratio of at least one to every 5 children under the age of two?			

<b>Criteria to assess Premises and facilities standard</b>		<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<p><i>Criterion PF37</i> <b>ALL-DAY SERVICES ONLY:</b></p> <p>Is a designated space available to support the provision of restful sleep for children under the age of two at any time they are attending?</p> <p>Is this space located and designed to:</p> <ul style="list-style-type: none"> <li>• minimise fluctuations in temperature, noise and lighting levels;</li> <li>• allow adequate supervision; visibility from another area of the service; and</li> <li>• accommodate at least the requirements of <i>Criterion PF38</i>, when arranged in accordance with <i>Criterion HS10</i>?</li> </ul>				
<p><i>Criterion PF38</i> <b>ALL-DAY SERVICES ONLY:</b></p> <p>Are furniture and items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) provided at a ratio of at least one to every 2 children under the age of two?</p>				
<b>7</b>	<p><b>Facilities for persons with disabilities</b></p> <p>Are there access and facilities for persons with disabilities to and within the centre's building?</p> <p>[This is the building owner's responsibility].</p>			
<b>8</b>	<p><b>Swimming pools</b></p> <p>Checked that the swimming pool meets the requirements set out in the MOE's <a href="#">Safety at the pool</a> ; <a href="#">Building Code (including the new Clause F9 for pool fencing) (external link)</a>; <a href="#">NZS 8500:2006 'Safety barriers and fences around swimming pools'</a></p> <p>[Write N/A if not applicable]</p>			



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**Self-Audit Checklist**  
**Section 3 – Health and safety practices standard**

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**What does ERO want to know?**

ERO wants to know that the service provider meets the minimum health and safety practices standard and the licensing criteria in terms of the regulatory requirements, and has the required documentation to demonstrate compliance with the relevant criteria including other relevant legislative requirements. *Please tick all questions including bullet points.*

<b>Health and safety practices standard</b> <b>Please tick all questions including bullet points.</b>	<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<b>1 Hygiene</b>			
<i>Criterion HS1</i> Are the premises, furniture, fittings, equipment, and materials kept safe and hygienic and maintained in good condition?			
<i>Criterion HS2</i> Is linen used by children or adults hygienically laundered?			
<i>Documentation:</i> A procedure for the hygienic laundering (off-site or on-site) of linen used by the children or adults.			
<i>Criterion HS3</i> Is there a procedure for the changing (and disposal, if appropriate) of nappies displayed near the nappy changing facilities and consistently implemented?			
<i>Documentation:</i> A procedure for the changing (and disposal, if appropriate) of nappies. The procedure aims to ensure:			
• safe and hygienic practices; and			
• that children are treated with dignity and respect.			

<b>Health and safety practices standard</b>		<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<b>2 Emergencies</b>	<i>Criterion HS4</i> Are the premises located in a building that has a current Fire Evacuation Scheme that is approved by the New Zealand Fire Service?			
	<i>Documentation:</i> A current Fire Evacuation Scheme approved by the New Zealand Fire Service.			
	<i>Criterion HS5</i> Are there designated assembly areas for evacuation purposes outside the building to keep children safe from further risk?			
	<i>Criterion HS6</i> Are heavy furniture, fixtures, and equipment that could fall or topple and cause serious injury or damage secured?			
	<i>Criterion HS7</i> Is there a written emergency plan and supplies to ensure the care and safety of the children and adults at the service?			
	Does the plan include evacuation procedures for the service's premises, which apply in a variety of emergency situations and which are consistent with the Fire Evacuation Scheme for the building?			
	<i>Documentation:</i> A written emergency plan that includes at least:			
	<ul style="list-style-type: none"> <li>• An evacuation procedure for the premises.</li> <li>• A list of safety and emergency supplies and resources sufficient for the age and number of children and adults at the service and details of how these will be maintained and accessed in an emergency.</li> <li>• Details of the roles and responsibilities that will apply during an emergency situation.</li> <li>• A communication plan for families and support services.</li> <li>• Evidence of review of the plan on an, at least, annual basis and implementation of improved practices as required.</li> </ul>			

<b>Health and safety practices standard</b>		<b>Yes</b>	<b>No</b>	<b>Unsure</b>
3	<p><i>Criterion HS8</i> Are adults providing education and care familiar with relevant emergency drills and carry these out with the children on an at least three-monthly basis?</p> <p><i>Documentation:</i> A record of emergency drills carried out and evidence of how evaluation of the drills has informed the annual review of the service's emergency plan.</p>			
	<p><b>Sleep</b></p> <p><i>Criterion HS9</i> Is a procedure for monitoring children's sleep displayed and implemented and a record of children's sleep times kept?</p> <p><i>Documentation:</i> 1. A procedure for monitoring children's sleep. The procedure ensures that children:</p> <ul style="list-style-type: none"> <li>• do not have access to food or liquids while in bed; and</li> <li>• are checked for warmth, breathing, and general well-being at least every 5 – 10 minutes, or more frequently according to individual needs?</li> </ul> <p>2. A record of the time each child attending the service sleeps, and checks made by adults during that time.</p>			
	<p><i>Criterion HS10</i> Are furniture or items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) arranged and spaced when in use so that:</p> <ul style="list-style-type: none"> <li>• adults have clear access to at least one side (meaning the length, not the width);</li> <li>• the area surrounding each child allows air movement to minimise the risk of spreading illness; and</li> <li>• children able to sit or stand can do so safely as they wake?</li> </ul>			
	<p><i>Criterion HS11</i> If not permanently set up, is furniture or items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) and bedding hygienically stored when not in use?</p>			

<b><i>Health and safety practices standard</i></b>		<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<b>4 Hazards and excursions</b>	<i>Criterion HS12</i>			
	Are the equipment, premises and facilities checked every day of operation for hazards to the children?			
	Are accident/incident records analysed to identify hazards and appropriate action is then taken?			
	Are hazards to the safety of children eliminated, isolated, or minimised?			
	Consideration of hazards must include but are not limited to:			
	<ul style="list-style-type: none"> <li>• cleaning agents, medicines, poisons, and other hazardous materials;</li> </ul>			
	<ul style="list-style-type: none"> <li>• electrical sockets and appliances (particularly heaters);</li> </ul>			
	<ul style="list-style-type: none"> <li>• hazards present in kitchen or laundry facilities;</li> </ul>			
	<ul style="list-style-type: none"> <li>• vandalism, dangerous objects, and foreign materials (e.g. broken glass, animal droppings);</li> </ul>			
	<ul style="list-style-type: none"> <li>• the condition and placement of learning, play and other equipment;</li> </ul>			
	<ul style="list-style-type: none"> <li>• windows and other areas of glass;</li> </ul>			
	<ul style="list-style-type: none"> <li>• poisonous plants; and</li> </ul>			
	<ul style="list-style-type: none"> <li>• bodies of water.</li> </ul>			
	<i>Documentation:</i>			
	A documented risk management system.			
<i>Criterion HS13</i>				
Is the temperature of warm water delivered from taps that are accessible to children no higher than 40 degrees C, and comfortable for children at the centre to use?				
<i>Criterion HS14</i>				
Is water stored in any hot water cylinder kept at a temperature of at least 60 degrees C?				
<i>Criterion HS15</i>				
Are all practicable steps taken to ensure that noise levels do not unduly interfere with normal speech and/or communication, or cause any child attending distress or harm?				



<b><i>Health and safety practices standard</i></b>	<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<p><i>Criterion HS16</i> Are safe and hygienic handling practices implemented with regard to any animals at the service?</p>			
<p>Are all animals able to be restrained?</p>			
<p><i>Criterion HS17</i> When Children leave the premises on an excursion:</p>			
<ul style="list-style-type: none"> <li>• Is assessment and management of the risks undertaken, and</li> </ul>			
<ul style="list-style-type: none"> <li>• are adult:child ratios determined accordingly?</li> </ul>			
<ul style="list-style-type: none"> <li>• Are ratios not less than the required adult:child ratio?</li> </ul>			
<ul style="list-style-type: none"> <li>• Are the first aid requirements in <i>criterion HS25</i> met in relation to those children and any children remaining at the premises?</li> </ul>			
<ul style="list-style-type: none"> <li>• Have parents/caregivers given prior written approval of their child’s participation and of the proposed ratio for:</li> </ul>			
<ul style="list-style-type: none"> <li>i. regular excursions at the time of enrolment; and</li> </ul>			
<ul style="list-style-type: none"> <li>ii. special excursions prior to the outing or excursion taking place; and</li> </ul>			
<ul style="list-style-type: none"> <li>iii. are there communication systems in place so that people know where the children are, and adults communicate with others as necessary?</li> </ul>			
<p>When children leave the premises on a regular or special excursion, is the excursion approved by the Person Responsible?</p>			
<p><i>Documentation:</i></p>			
<p>A record of excursions that includes:</p>			
<ul style="list-style-type: none"> <li>• the names of adults and children involved;</li> </ul>			
<ul style="list-style-type: none"> <li>• the time and date of the excursion;</li> </ul>			
<ul style="list-style-type: none"> <li>• the location and method of travel;</li> </ul>			
<ul style="list-style-type: none"> <li>• assessment and management of risk;</li> </ul>			
<ul style="list-style-type: none"> <li>• adult:child ratios;</li> </ul>			
<ul style="list-style-type: none"> <li>• evidence of parental permission and approval of adult:child ratios for regular excursions;</li> </ul>			
<ul style="list-style-type: none"> <li>• evidence of parental permission and approval of adult:child ratios for special excursions and</li> </ul>			
<ul style="list-style-type: none"> <li>• the signature of the Person Responsible for giving approval for the excursion to take place.</li> </ul>			
<p><i>‘Person Responsible’ is the person(s) nominated for the purpose by the service provider; being persons who are directly involved in, and primarily responsible for, the day-to-day education and care, comfort, and health and safety of the children;</i></p>			

<b><i>Health and safety practices standard</i></b>	<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<p><i>Criterion HS18</i> If children travel in a motor vehicle while in the care of the service:</p>			
<ul style="list-style-type: none"> <li>• is each child restrained as required by Land Transport legislation?</li> </ul>			
<ul style="list-style-type: none"> <li>• are the required adult:child ratios maintained, and</li> </ul>			
<ul style="list-style-type: none"> <li>• is the written permission of a parent of the child obtained before the travel begins (unless the child is travelling with their parent)?</li> </ul>			
<p><i>Documentation:</i> Evidence of parental permission for any travel by motor vehicle. In most cases, this requirement will be met by the excursion records required for <i>criterion HS17</i>. Services that provide transport for children to and/or from the service must also gain written permission from a parent upon enrolment.</p>			

<b><i>Health and safety practices standard</i></b>		<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<b>5 Food and drink</b>	<i>Criterion HS19</i>			
	Is food served at appropriate times to meet nutritional needs of each child while they are attending?			
	Where food is provided by the service, is it of sufficient variety, quantity, and quality to meet these needs?			
	Where food is provided by the parents, does the service encourage and promote healthy eating guidelines?			
	<i>Documentation:</i> A record of all food served during the service's hours of operation (other than that provided by parents for their own children). Records show the type of food provided, and are available for inspection for 3 months after the food is served.			
	<i>Criterion HS20</i>			
	Is food prepared, served, and stored hygienically?			
	<i>Criterion HS21</i>			
	Is an ample supply of water that is fit to drink available for children at all times, and are older children able to access this water independently?			
	<i>Criterion HS22</i>			
Are children supervised while eating?				
<i>Criterion HS23</i>				
<b><i>APPLIES ONLY TO SERVICES LICENSED FOR UNDER 2 YEAR OLDS:</i></b>				
Are infants under the age of 6 months and other children unable to drink independently held semi-upright when being fed?				
Is any infant food given to a child under the age of 12 months of a type approved by the child's parent?				

<b>Health and safety practices standard</b>		<b>Yes</b>	<b>No</b>	<b>Unsure</b>
6	<b>Child health and wellbeing</b>			
	<i>Criterion HS24</i> Are rooms used by children kept at a comfortable temperature no lower than 16 degrees C (at 500 mm above the floor) while children are attending?			
	<i>Criterion HS25</i> Is an adult present at all times for every 50 children attending (or part thereof) who:			
	<ul style="list-style-type: none"> <li>holds a current First Aid qualification gained from a New Zealand Qualifications Authority accredited first aid training provider; or</li> </ul>			
	<ul style="list-style-type: none"> <li>is a registered medical practitioner or nurse with a current practising certificate; or</li> </ul>			
	<ul style="list-style-type: none"> <li>is a qualified ambulance officer or paramedic?</li> </ul>			
	If a child is injured, is any required first aid administered or supervised by an adult meeting these requirements?			
	<i>Documentation:</i> Copies of current first aid (or medical practising) certificates for adults counting towards this requirement.			
	<i>Criterion HS26</i> Are all practicable steps taken to ensure that children do not come into contact with any person (adult or child) on the premises who is suffering from a disease or condition likely to have a detrimental effect on them? Specifically:			
	<ul style="list-style-type: none"> <li>Is the action specified in Appendix 2 of the <i>Licensing Criteria for Early Childhood Education and Care Centres 2008</i> taken for any person (adult or child) suffering from particular infectious diseases?</li> </ul>			
<ul style="list-style-type: none"> <li>Are children who become unwell while attending the service kept at a safe distance from other children (to minimise the spread of infection) and returned to the care of a parent or other person authorised to collect the child without delay?</li> </ul>				

<b><i>Health and safety practices standard</i></b>	<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<p><i>Criterion HS27</i> Are all practicable steps taken to get immediate medical assistance for a child who is seriously injured or becomes seriously ill, and to notify a parent of what has happened?</p> <p><i>Documentation:</i></p> <ol style="list-style-type: none"> <li>1. A record of serious injuries, illnesses and incidents that occur at the service.</li> </ol> <p>Records include:</p> <ul style="list-style-type: none"> <li>• the child’s name;</li> <li>• the date, time, and description of the injury, illness or incident;</li> <li>• actions taken and by whom; and</li> <li>• evidence that the parents have been notified/informed.</li> </ul> <ol style="list-style-type: none"> <li>2. A procedure outlining the service’s response to injury, illness, and incident, including the review and implementation of practices as required.</li> </ol>			
<p><i>Criterion HS28</i></p>			
<p>Medicine (prescription and non-prescription) is not given to a child unless it is given:</p>			
<ul style="list-style-type: none"> <li>• by a doctor or ambulance personnel in an emergency; or</li> </ul>			
<ul style="list-style-type: none"> <li>• by the parent of the child; or</li> </ul>			
<ul style="list-style-type: none"> <li>• with the written authority (appropriate to the category of medicine) of a parent.</li> </ul>			
<p>Medicines are stored safely and appropriately, and are disposed of or sent home with a parent (if supplied in relation to a specific child) after the specified time.</p>			
<p><i>Documentation:</i></p>			
<ol style="list-style-type: none"> <li>1. A record of the written authority from parents for the administration of medicine in accordance with the requirement for the category of medicine outlined in Appendix 3.</li> </ol>			
<ol style="list-style-type: none"> <li>2. A record of all medicine (prescription and non-prescription) given to children attending the service. Records include:</li> </ol>			
<ul style="list-style-type: none"> <li>• name of the child;</li> </ul>			
<ul style="list-style-type: none"> <li>• name and amount of medicine given;</li> </ul>			
<ul style="list-style-type: none"> <li>• date and time medicine was administered and by whom; and</li> </ul>			
<ul style="list-style-type: none"> <li>• evidence of parental acknowledgement.</li> </ul>			
<p><i>Criterion HS29</i></p>			
<p>Are adults who administer medicine to children (other than their own) provided with information and/or training</p>			

relevant to the task?			
<i>Documentation:</i> A record of training and/or information provided to adults who administer medicine to children (other than their own) while at the service.			
<i>Criterion HS30</i>  Are children washed when they are soiled or pose a health risk to themselves or others?			
<b>7 Child protection</b>			
<i>Criterion HS 31</i>			
(i) Is there a written child protection policy that meets the requirements of the Vulnerable Children Act 2014?			
(ii) Does the policy contain provisions on the identification and reporting of child abuse and neglect, and information about how the service will keep children safe from abuse and neglect, and information about how the service will respond to suspected child abuse and neglect?			
(iii) Will the policy be reviewed every three years?			
<i>Documentation:</i> 1. The written child protection policy contains: (a) provisions for the service’s identification and reporting of child abuse and neglect; (b) information about practices the service employs to keep children safe from abuse and neglect; and (c) information about how the service will respond to suspected child abuse and neglect. 2. A procedure that sets out how the service will identify and respond to suspected child abuse and/or neglect			
<i>Criterion HS32</i>  Are all practicable steps taken to protect children from exposure to inappropriate material (for example, of an explicitly sexual or violent nature)?			
<i>Criterion HS33</i> Has the service provider ensured that no person on the premises uses, or is under the influence of, alcohol or any other substance that has a detrimental effect on their functioning or behaviour during the service’s hours of operation?			
<i>Notification</i>			
<i>Criterion HS34</i>			
• Has the service notified a specified agency* where there is a serious injury or incident involving a child while at the service? and			

<ul style="list-style-type: none"> <li>• Has the service also notified the Ministry of Education at the same time?</li> </ul> <p>[Note: <i>*specified agency</i> is defined to include the NZ Police; Ministry of Health; Child, Youth and Family; Worksafe NZ, and the Education Council]</p> <p><i>Documentation:</i></p> <p>A copy of the notification sent to the specified agency.</p>			
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## Self-Audit Checklist

### *Section 4 – Governance, Management and Administration Standard*

#### What does ERO want to know?

ERO wants to know that the service provider meets the governance, management and administration standard and the licensing criteria in terms of the regulatory requirements, and that it has the required documentation to demonstrate compliance with the relevant criteria including other relevant legislative requirements. *Please tick all questions including bullet points.*

<i>Governance, management and administration standard</i>	Yes	No	Unsure
<p><b>1 Involvement of parents</b></p> <p><i>Criterion GMA1</i></p> <p>Are the following prominently displayed at the service for parents and visitors:</p> <ul style="list-style-type: none"> <li>• the Education (Early Childhood Services) Regulations 2008, and the Licensing Criteria for Early Childhood and Care Centres 2008?</li> <li>• the full names and qualifications of each person counting towards regulated qualification requirements?</li> <li>• the service’s current licence certificate?</li> <li>• a procedure people should follow if they wish to complain about non-compliance with Regulations or criteria?</li> </ul> <p><i>Documentation</i></p> <p>A procedure people should follow if they wish to complain about non-compliance with the Regulations or criteria. The procedure includes the option to contact the local MOE office and provides contact details.</p> <p><i>Criterion GMA2</i></p> <p>Are parents advised how to access:</p> <ul style="list-style-type: none"> <li>• information concerning their child?</li> <li>• the service’s operational documents (such as its philosophy, policies, and procedures and any other documents that set out how day to day operations will be conducted)?</li> <li>• the most recent ERO report regarding the service?</li> </ul> <p><i>Documentation</i></p> <p>Written information letting parents know how to access:</p> <ul style="list-style-type: none"> <li>• information concerning their child;</li> <li>• the service’s operational documents; and</li> </ul>			

<ul style="list-style-type: none"> <li>the most recent ERO report regarding the service.</li> </ul>			
<p><i>Criterion GMA3</i></p> <p>Is information provided to parents about:</p>			
<ul style="list-style-type: none"> <li>how they can be involved in the service;</li> </ul>			
<ul style="list-style-type: none"> <li>any fees charged by the services;</li> </ul>			
<ul style="list-style-type: none"> <li>the amount and details of the expenditure of any Ministry of Education funding received by the service; and</li> </ul>			
<ul style="list-style-type: none"> <li>any planned reviews and consultation?</li> </ul>			
<p><i>Documentation:</i></p> <p>Written information letting parents know:</p>			
<ul style="list-style-type: none"> <li>how they can be involved in the service;</li> </ul>			
<ul style="list-style-type: none"> <li>any fees charged by the service;</li> </ul>			
<ul style="list-style-type: none"> <li>the amount and details of the expenditure of any Ministry of Education funding received by the service; and</li> </ul>			
<ul style="list-style-type: none"> <li>about any planned reviews and consultation.</li> </ul>			
<p><i>Criterion GMA4</i></p> <p>Are parents of children attending the service, and adults providing education and care, provided with opportunities to contribute to the development and review of the service's operational documents (such as philosophy, policies, and procedures any other documents that set out how day to day operations will be conducted)?</p>			
<p><i>Documents:</i></p> <p>Evidence of opportunities provided for parents and adults providing education and care to contribute to the development and review of the service's operational documents.</p>			

<b><i>Governance, management and administration standard</i></b>		<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<b>2 Professional practices</b>	<i>Criterion GMA5</i>			
	Is there a philosophy statement that guides the service's operation?			
	<i>Documentation:</i>			
	A written statement expressing the service's beliefs, values, and attitudes about the provision of early childhood education and care.			
	<i>Criterion GMA6</i>			
	Is there an ongoing process of self-review to help the service maintain and improve the quality of its education and care.			
	<i>Documentation:</i>			
	1. A process of reviewing and evaluating the service's operation (for example, learning and teaching practices, philosophy, policies, and procedures) by the people involved in the service. The process is consistent with <i>criterion GMA4</i> , and includes a schedule showing timelines for planned review of different areas of operation.			
	2. Recorded outcomes from the review process.			
	<i>Criterion GMA7</i>			
	Are suitable human resource management practices implemented?			
	<i>Documentation:</i>			
	Processes for human resource management; including:			
	<ul style="list-style-type: none"> <li>• selection and appointment procedures;</li> <li>• job/role descriptions;</li> <li>• induction procedures into the service;</li> <li>• a system of regular appraisal;</li> <li>• provision for professional development;</li> <li>• a definition of serious misconduct; and</li> <li>• discipline/dismissal procedures.</li> </ul>			

<b><i>Governance, management and administration standard</i></b>	<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<i>Criterion GMA7A</i>			
Are all <i>children's workers</i> who have access to children safety checked in accordance with the Vulnerable Children Act 2014 [VCA]?			
<ul style="list-style-type: none"> <li>• Are the safety checks undertaken and the results obtained before the worker has access to children?</li> </ul>			
<ul style="list-style-type: none"> <li>• Are the results of the safety checks recorded and the record kept as long as the person is employed at the service?</li> </ul>			
<ul style="list-style-type: none"> <li>• Are safety checks of every children's worker carried out every three years? [<i>Safety checks may be carried out by the employer or another person or organisation acting on the employer's behalf</i>]</li> </ul>			
<i>Documentation</i>			
1. a written procedure for safety checking all children's workers before they have access to children that meets the safety checking requirements of the VCA			
2. a record of all safety checks and the results. [Refer to question 11 below for further guidance]			

<i>Governance, management and administration standard</i>		Yes	No	Unsure
3	<b>Planning and documentation</b>			
	<i>Criterion GMA8</i>			
	Is there an annual plan to guide the service's operation?			
	<i>Documentation:</i>			
	An annual plan identifying 'who', 'what', and, 'when' in relation to key tasks undertaken each year.			
	<i>Criterion GMA9</i>			
	Is there an annual budget to guide financial expenditure?			
	<i>Documentation:</i>			
	An annual budget setting out the service's estimated revenue and expenses for the year. The budget includes at least:			
	<ul style="list-style-type: none"> <li>• staffing costs, including leave entitlements;</li> <li>• professional development costs;</li> <li>• equipment and material costs for the ongoing purchase of new equipment and consumable materials; and</li> <li>• provision for operational costs (such as electricity, telephone, food purchases, and other day to day items) and maintenance of the premises as appropriate.</li> </ul>			
	<i>Criterion GMA10</i>			
	Are enrolment records maintained for each child attending?			
	Are records kept for at least 7 years?			
	<i>Documentation:</i>			
	Enrolment records for each child currently attending and for those who have attended in the previous 7 years. Records meet the requirements of the Early Childhood Education Funding Handbook and include at least:			
	<ul style="list-style-type: none"> <li>• the child's full name, date of birth, and address;</li> <li>• the name and address of at least 1 parent;</li> <li>• details of how at least 1 parent (or someone nominated by them) can be contacted while the child attends the service;</li> <li>• the name of the medical practitioner (or medical centre) who should, if practicable, be consulted if the child is ill or injured;</li> <li>• details of any chronic illness/condition that the child has, and of any implications or actions to be followed in relation to that illness/condition;</li> <li>• the names of the people authorised by the parent to collect the child; and</li> <li>• any court orders affecting day to day care of, or contact with, the child.</li> </ul>			

<b><i>Governance, management and administration standard</i></b>		<b>Yes</b>	<b>No</b>	<b>Unsure</b>
<p><i>Criterion GMA11</i></p> <p>Is an attendance record maintained that shows the times and dates of every child's attendance at the service?</p> <p>Are records kept for at least 7 years?</p> <p><i>Documentation:</i></p> <p>An attendance record that that meets the requirements outlined in the Early Childhood Education Funding Handbook for children currently attending, and children who have attended in the previous 7 years.</p> <p><i>Criterion GMA12</i></p> <p>Is required documentation made available as appropriate to parents and government officials having right of entry to the service under section 319B of the Education Act 1989?</p> <p>[Note: refer to <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a> for free access to the Education Act 1989]</p>				
<b>4</b>	<p><b>Health Immunisation</b></p> <p>Are there policies or procedures in place to ensure the requirements of the Health (Immunisation ) Regulations 1995 are met?</p> <p>Refer -<a href="#">Immunisation Guidelines for Early Childhood Services and ...</a></p>			
<b>5</b>	<p><b>Privacy</b></p> <p>Are there policies and procedures in place to ensure the requirements of the Privacy Act 1993 are met in relation to information about children and the parents/caregivers of those children who attend the service; and</p> <p>Are these policies/procedures regularly reviewed and implemented appropriately?</p>			
<b>6</b>	<p><b>Human Rights</b></p> <p>Are there policies/procedures to ensure compliance with the Human Rights Act 1993, and</p> <p>Are these polices/procedures regularly reviewed and implemented appropriately?</p>			

<i>Governance, management and administration standard</i>		Yes	No	Unsure
7	<b>Staff appointments and teacher registration</b>			
	Has the service provider as employer regularly reviewed the following at least once a year, and appropriately implemented:			
	<ul style="list-style-type: none"> <li>the staff appointment process?</li> </ul>			
	<ul style="list-style-type: none"> <li>the staff professional development programme, and outcomes?</li> </ul>			
	<ul style="list-style-type: none"> <li>the EEO programme?</li> </ul>			
	<b>For Kindergartens only:</b>			
	<ul style="list-style-type: none"> <li>teacher registration – including practising certificates and LATs?</li> </ul>			
<ul style="list-style-type: none"> <li>the provisionally registered teachers’ induction programme?</li> </ul>				
<b>For all other licensed services:</b>				
<ul style="list-style-type: none"> <li>teacher registration for the ‘person responsible’ in the service?</li> </ul>				
<ul style="list-style-type: none"> <li>The induction programme for any ‘person responsible’ who is provisionally registered?</li> </ul>				
8	<p>Has the service provider ensured that appraisals of staff in teaching positions by the professional leader of the service is based on the <i>Standards for the Teaching Profession</i>* established by the Teaching Council for the issue and renewal of practising certificates? * (Ref: Part 31 Education Act 1989)</p> <p>*Note: refer to the Teaching Council website- <a href="#">Teaching Council of Aotearoa New Zealand website (external link)</a> for details on teacher appraisals</p>			
9	<p><b>Police vetting</b></p> <p>Has the service provider established, and implemented procedures for the Police vetting of employees and contractors as required by the Education Act 1989 [sections 319D to 319FA/FE]?</p> <p><a href="#">Police vetting for early learning services</a></p>			
10	<b>Fit and Proper Persons</b>			
	<p>Has the service provider advised the Secretary for Education of any change of his/her circumstances of the kind referred to in the statutory declaration made under Regulation 7?</p> <p>[Ref: <i>Regulation 35 of the Education (Early Childhood Services) Regulations 2008</i> ]</p> <p>[Note: Write N/A if not applicable. Refer to <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a> for free access to the <i>Education (Early Childhood Services) Regulations 2008</i>]</p>			

11	<p><b>Safety Checking of Workforce [Vulnerable Children Act ]</b></p> <p>For <i>persons</i> that the service provider <i>proposes</i> to employ or engage from 1 July 2015 as a paid <i>children’s worker*</i>, the following checks have been undertaken:</p> <p><i>Identity Confirmation, either by</i></p> <p>(a) using an electronic identity credential to check that the identity is not claimed by someone else; <u>or</u></p> <p>(b) checking an original primary identity document (e.g. NZ passport); and a secondary identity document (e.g. NZ driver licence);</p> <p>[Note: if there are no photos of the person in the documents in (b), the service provider must require an <i>identity referee</i> to authenticate/verify identity of the staff. If the person’s name is different on a document in (b) the board must require a supporting name change document from the person];</p> <p>(c) searching the service provider’s personnel records to check whether the identity is being used or has been used by any person currently or previously employed/engaged by the service provider after having sighted the documents in (a) or (b) including the matters under ‘Note’ above.</p> <p><i>Criminal Convictions</i></p> <p>(d) obtaining and considering information from NZ Police vet</p> <p>[Note: no need for Police vet if the person already had one in the last three years or person is a registered teacher]</p> <p><i>Other Information</i></p> <p>(e) obtaining and considering a chronological summary of work history for preceding five years from the person; and</p> <p>(f) whether person is registered with the Teaching Council, and if so, Service provider has confirmed this with the Teaching Council;</p> <p>(g) obtaining and considering information from at least one referee (not related to the person or part of the extended family) and</p> <p>(h) any other information the board considers relevant for risk assessment;</p> <p>(i) interviewed the person, in person or by telephone or other communication technology;</p> <p>[Note: the requirements in (e), (g),(h) and (i) do not apply if the person is currently employed or engaged by the board in another role – write N/A in this case]</p> <p><i>Risk Assessment</i></p> <p>(j) evaluation of all the information above to assess the risk the potential children’s worker would pose to the safety of children if employed or engaged, taking into account whether the role is a core children’s worker or non-core children’s worker.</p> <p><b>Note:</b></p> <p>(i) *Children’s workers who are <i>core workers</i> work alone with or have primary responsibility or authority over children, e.g. teachers, person responsible or support staff. Also applies to</p>			
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	<p>(Question 11 cont'd)</p> <p>persons undertaking unpaid children's work as part of educational or vocational training course.</p> <p>(ii)**the purpose of paragraph (c) is to establish that the person you propose to employ is the sole claimant of the identity.</p> <p>(iii) The above checks apply to all new <i>core workers</i> from 1 July 2015, and new <i>non-core workers</i> from 1 July 2016, <b>and are guidelines only.</b></p> <p>(iv)For details the service provider should refer to the relevant provisions of the <i>Vulnerable Children Act 2014</i>, and regulations 5 – 8 of the <i>Vulnerable Children (Requirements for Safety Checks of Children's Workers) Regulations 2015</i> – <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a>.</p> <p>(v) For more information visit: <a href="http://www.childrensactionplan.govt.nz">www.childrensactionplan.govt.nz</a>, and <a href="#">Children's worker safety checking under the Vulnerable Children Act 2014</a></p> <p>(vi) Seek independent advice if you are uncertain.</p> <p>(vii) Keep accurate records about each aspect of the safety checking process.</p>			
12	<p><b>Reporting to Teaching Council</b></p> <p>In the following situations, has the service provider, as the employer, reported to the Teaching Council in compliance with the mandatory requirements under the Education Act 1989: [Write N/A if not applicable]</p> <ul style="list-style-type: none"> <li>• When a teacher has been dismissed for any reason (section 392)?</li> <li>• If, within 12 months before a teacher's resignation or expiry of the teacher's fixed-term contract, the employer has advised the teacher that it was dissatisfied with, or intended to investigate, any aspect of the conduct of the teacher or the teacher's competence (section 392)?</li> <li>• If, within 12 months after a teacher has left, the employer has received a complaint about the teacher's conduct or competence while he/she was an employee (section 393)?</li> <li>• If the employer has reason to believe that a teacher has engaged in serious misconduct (section 394)?</li> <li>• If the employer is satisfied that, despite undertaking competency procedures with a teacher, the teacher has not reached the required level of competence (section 395)?</li> </ul>			

